

Administrative reforms required for the successful implementation of the National Development Plan

by
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APPROVAL PAGE

This research has been examined and is approved as meeting the required standards for the fulfilment of the requirements of the degree: Doctor of Philosophy in Public Management and Development Planning.

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DECLARATION

By submitting this dissertation electronically, I Nelia Orlandi declare that the entirety of “Administrative reforms required for the successful implementation of the National Development Plan (NDP)” and the work contained therein is my own, original work, that I am the sole author thereof (save to the extent explicitly otherwise stated), that reproduction and publication thereof by Stellenbosch University will not infringe any third party rights and that I have not previously in its entirety or in part submitted it for obtaining any qualification.

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DEDICATION

This dissertation is dedicated to Jacques van Zyl for his continuous motivation and support throughout the period of undertaking this study.

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ABSTRACT

Challenges with the successful implementation of policies, strategies and plans have been identified as reasons for South Africa not reducing poverty, unemployment and inequality. The aim of this study is to identify the obstacles that prevent successful policy implementation in South Africa. The focus is specifically to identify the possible constraints that could prevent the successful implementation of the South African National Development Plan (NDP), vision 2030.

Policy implementation has been identified in the literature as one of the key elements of public administration. Over time, public administration went through a series of reforms, specifically to search for effective ways to make government work better and more cost effectively. Apart from the role of performance measurement in government's effectiveness, the focus of reforms shifted to performance-based management as a whole.

To ensure effective and efficient service delivery it is important to establish the key factors influencing the success of policy implementation. The study of policy implementation is grounded in the disciplines of public sector management and policy science. It comprises well-defined linear steps within a broader economic, political and social environment that, if taken care of, should lead to a sound policy process being put in place.

All government activities must reflect and align to the objectives of government policies. The challenge, however, is to implement the mechanisms properly to reap the benefits of efficiency and effectiveness and to be able to evaluate success or failure. This research proposes a model to evaluate the success or failure of the implementation of the policy process.

A model was developed, based on the key public sector reforms, mechanisms and key factors that influence successful policy implementation. The proposed model builds on previous models and frameworks and considers content, causality, context, capacity and control as critical elements influencing policy implementation. It is structured to assist policy implementation analysts to assess policy implementation over the entire policy process.

The practical application of the model was tested on the South African NDP. The application of the model to the NDP identified slow progress, challenges with the design and mechanisms as blockages for the implementation of the NDP. Slow progress on the implementation of the NDP necessitated a more detailed analysis of the mechanisms introduced for the implementation of the NDP. Throughout the analysis, the complexity of the mechanism has been identified as a challenge for the successful implementation of the NDP.

A revised operating model is therefore recommended for the implementation of the NDP. This revised model provides a simplified mechanism that fully integrates the NDP priorities into the standard processes of government. The proposed mechanism replaces the complex medium-term strategic framework (in its current format) and programme of action reporting process with a more integrated system.

The adoption of a more refined framework, based on the proposed operating model for the development of the next five-year implementation plan of the NDP, should eliminate some of the blockages caused by the content and causality elements of the current NDP implementation plans. Despite the recommendation for a revised mechanism, a range of recommendations, based on the findings from the analyses on the current mechanism, have been made.

The recommendations start with the development of well described performance indicators and targets. The next set of recommendations relates to the adoption of a more refined model for the implementation plans for the NDP and, therefore, the better integration of the NDP into the existing activities of departments in all spheres of government. Although many of the NDP initiatives relate to existing activities that can be accommodated in the existing budget programme structures of government, the review of all budget programme structures, to provide for the relevant resources and capacity, is recommended. This recommendation refers to all levels of government to ensure the correct classification of budget programmes to accommodate the NDP outcomes and activities to which funds must be directed.

A further recommendation includes the consideration of combining other forms of budgeting selectively within the programme performance management system adopted by the South African government. To improve the relationship between planning and budgeting, government should also consider the review of the institutional arrangements of the planning, budgeting and monitoring and evaluation components. This is not just in terms of the NDP/long-term planning, but also in respect of medium- and short-term planning, reporting and monitoring.

The last set of recommendations emphasises the role of communication and control when services are decentralised or, in the case of South Africa, the use of public entities. The main recommendations include:

- The identification of key relevant stakeholders as opposed to using multiple actors responsible for the implementation of national outcomes.
- Giving greater responsibility to programme managers linked to a public entity and at the same time holding them accountable for the monitoring of the strategic and financial management of public entities.

- Holding programme managers responsible for communicating and the monitoring of the requirements of public entities (that provide services on behalf of government) in terms of the implementation of the national outcomes.

OPSOMMING

Onvermoë van die Suid-Afrikaanse regering om beleid, strategie en prestasie planne suksesvol te implementeer is van die redes waarom Suid-Afrika sukkel om armoede, werkloosheid en ongelykheid aan te spreek. Die doel van hierdie studie is om struikelblokke te identifiseer wat die suksesvolle implementering van beleid in Suid-Afrika in die wiele ry. Die fokus is spesifiek op moontlike beperkings vir die implentering van die Suid-Afrikaanse Nasionale Ontwikkelings Plan (NOP), visie 2030.

Beleids implementering as een van die sleutel elemente van die publieke administrasie. Die publieke administrasie het, met tyd, deur 'n reeks van hervormings gegaan, spesifiek om doeltreffende maniere te vind om die regering beter en meer koste effektief te bedryf. Tenspyte van die rol van prestasie maatstawe, in regerings doeltreffendheid, het die fokus van hervorming na prestasie gebaseerde bestuur, as 'n geheel, verskuif.

Om doeltreffende en voldoende dienslewering te verseker is dit belangrik om sleutel faktore, wat suksesvolle beleids implementering beïnvloed, te identifiseer. Die studie van beleids implementering is in die bestuur en beleids wetenskappe dissipline gevestig. Hierdie dissiplines bestaan uit goed gedefinieerde, lineêre stappe binne 'n ekonomiese, politieke, en sosiale omgewing, wat indien dit gevolg word, 'n volledige beleids proses in plek stel.

Dit is egter ook nodig dat regerings aktiwiteite belyn is met beleid en die doelwitte van regerings beleid reflekteer. Die uitdaging is, egter, om die sisteem akkuraat te implementeer om die voordele van doeltreffendheid en voldoening te geniet en om sukses of mislukking te evalueer. Hierdie navorsing stel 'n model voor om die sukses of mislukking van die implementering van die beleids proses te evalueer.

'n Model, gebaseer op die sleutel publieke sektor hervormings, meganismes en faktore wat suksesvolle beleids implementering beïnvloed, is ontwikkel. Die voorgestelde model bou op voorheen ontwikkelde modelle en raamwerke en oorweeg inhoud, invloed, konteks, kapasiteit en kontrole as kritiese elemente wat beleids implementering beïnvloed. Dit is so gestruktureer dat beleids implementerings analiste dit kan gebruik om die beleids proses as 'n geheel te analiseer.

Die praktiese gebruik van die model is op die Suid Afrikaanse NOP toegepas. Die resultate van hierdie toepassing het stadige vordering met die implementering, asook uitdagings, met die ontwerp en meganismes vir implementering van die NOP, uitgewys. Die stadige vordering met die implementering van die NOP het verdere, meer gedetailleerde analises van die meganismes vir die implementering van die NOP genoodsaak. Die analiese het, onder

andere, deurgans getoon dat die komplekse meganismes vir die implementering van die NOP problematies is.

'n Vereenvoudigde proses vir die ontwikkeling van die volgende 5-jaar implementerings raamwerk vir die NOP is voorgestel. Hierdie voorstel sluit die gebruik van 'n besigheids model in, wat 'n vereenvoudigde meganisme verskaf om die NOP ten volle met die standaard prosesse van die regering te integreer. Hierdie voorgestelde model vervang die gebruik van die medium termyn strategiese raamwerk (in sy huidige formaat) en die program van aksie verslae. Die aanvaarding van 'n meer vereenvoudigde model vir die ontwikkeling van die volgende vyf-jaar implementerings plan vir die NOP sal hindernisse wat deur die inhoud en oorsaaklike elemente veroorsaak word, uit te skakel. Ten spyte van die voorstel vir 'n meer eenvoudige model, is 'n reeks aanbevelings gemaak wat op die analiese van die huidige meganismes gebaseer is.

Die aanbevelings begin met die ontwikkeling van goed gedefinieerde prestasie-aanwysers en teikens. Die volgende stel aanbevelings is geskoei op die aanvaarding van 'n vereenvoudigde model vir die implementerings planne van die NOP en ;dus beter integrasie van die NOP met die standaard aktiwiteite van die regering. Alhoewel baie van die NOP initiatiewe verband hou met bestaande aktiwiteite in die regering, wat in die huidige begrotings-programme geakkommodeer kan word, word die hersiening van begrotings programme voorgestel. Hierdie voorstel is gemik op alle regerings vlakke en beoog om die korrekte klassifikasie van programme te verseker om die NOP uitkomst en aktiwiteite waaraan fondse gekoppel moet word, te verseker.

'n Verdere aanbeveling sluit in die oorweging van 'n kombinasie van ander vorms van begrotings praktyke, binne die program-prestasie bestuurs sisteme, wat deur die Suid-Afrikanse regering aanvaar is. Boonop word dit ook aanbeveel dat die regering die huidige plasing van die beplannings, begrotings en moniterings eenhede moet hersien. Hierdie aanbeveling behoort 'n beter verwantskap tussen die beplannings en begrotings prosesse te verseker, oor die lang -, medium - en kort-termyn.

Die laaste stel aanbevelings benadruk die rol van kommunikasie en kontrole wanneer dienste gedesentraliseer is of soos in die geval van suid Afrika, die gebruik van publieke entiteite. Die hoof aanbevelings sluit in:

- Die identifisering van 'n kern groep belanghebbendes teenoor die gebruik van veelvuldige implenteerders van die NOP.
- Plaas groter verantwoordelikheid op program-bestuurders, gekoppel aan publieke entiteite, in verband met die monitering van strategiese en finansiële bestuur van hierdie entiteite.

- Hou program-bestuurders verantwoordbaar vir die kommunikasie en monitering van die verantwoordelikhede van publieke entiteite (wat dienste namens die regering lewer) in verband met die implementering van die NOP.

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ACRONYMS

APP	Annual Performance Plan
Asgisa	Accelerated and Shared Growth Initiative for South Africa
DPME	Department of Planning Monitoring and Evaluation
GEAR	Growth, Employment and Redistribution
MTEF	Medium-Term Expenditure Framework
MTSF	Medium-Term Strategic Framework
NGP	New Growth Path
NPC	National Planning Commission
NPM	New Public Management
NDP	National Development Plan, vision 2030
OECD	Organisation for Economic Co-operation and Development
PBB	Performance-Based Budgeting
PBM	Performance-Based Management
PEFA	Public Financial Management Performance Measurement Framework
PFMA	Public Finance Management Act, 1999 (Act 1 of 1999)
PI	Performance Information
POA	Programme of Action
PPB	Programme Performance Budgeting
PPB	Planning-Programming-Budgeting
RBM	Results Based Management
RDP	Reconstruction and Development Programme
RSA	Republic of South Africa
SEIU	Service Employees International Union
SMART	Specific, Measurable, Achievable, Realistic and Time bound
SONA	State of the Nation Address

DEFINITIONS OF KEY CONCEPTS

Annual Performance Plan	Departmental annual performance plans provide details of strategic objectives and indicators with targets for the current year and the medium-term period per programme
Budget function groups	Various institutions across the three spheres of government are categorised within budget function groups. The categorisation is based on the objectives or activities, which the institutions are mandated to perform.
Budget programme structure	A range of programmes or budget programmes, which represents a management unit and funds a clearly defined set of objectives based on the services or functions within a department's legislative and other mandates.
Causal linkages	The cause effect relationship between the elements within a policy system.
Causal theory/theory of change	A progressive theory based upon cause and effect or a theory on how an intervention is expected to lead to desired results.
Commitments	A promise made through a policy or budget allocation
Generally recognised accounting practice (GRAP)	A set of concepts that function as guidelines for the accounting processes.
Impact	Long-term, widespread changes in society that result from an accumulation of outcomes.
Logic model	The programme logic model is generally accepted as the most useful tool to unpack the practical implementation of the theory of change. The links are between inputs, activities, output, outcomes and impact.
Medium Term Expenditure Framework	The Medium Term Expenditure Framework (MTEF) sets out three-year spending plans of the national and provincial governments.
Medium Term Strategic Framework	This Medium Term Strategic Framework (MTSF) is Government's strategic plan for a 5-year electoral term
National Development Plan	The national development plan of South Africa sets out the steps that country needs to follow to overcome its challenges and to achieve the 2030 vision. Government introduced the NDP as South Africa's long-term, socio-economic development roadmap.
Outcomes	Behavioural changes that result from outputs.

Outputs	Products and services produced/delivered as a result of an activity. Outputs are normally expressed as nouns.
Policy formulation	Is a continual process of identifying problems and formulating governmental responses.
Policy implementation	The translation of goals and objectives of a policy into action.
Policy success or failure	Policy success/failure can be defined as the achievement/non-achievement of policy goals and objectives. Measuring the outputs, if relevant to measure objectives and goals, would ultimately determine the success or failure.
Programme performance budgeting	A results-based management approach that allows for government spending to be classified by programme.
Programme of Action	The Programme of Action reports provide detailed performance information on the sub-outcomes, actions, performance indicators and targets of the 2014–2019 MTSF
Public Administration	Public administration comprises the integration of a political process for policy formulation and a management process in terms of how policy must be implemented. Governance is regarded as a third component, which is the combined function of government and management. These functions are delivered within a specific environmental context, which also refers to changing aspects that affect government policies and organisational aims.
Public Entity	State-owned enterprises (or public entities) are independent bodies partially or wholly owned by government. They perform specific functions and operate in accordance with a particular Act.
Quarterly Performance Report	In-year monitoring of the annual performance plan is conducted through quarterly performance reports. It contains all the programme performance indicators, targets and achievements per budget programme. Quarterly performance reports are consolidated in annual reports at the end of the financial year.
U-form management systems	According to the Collins Dictionary of Economics an u-form management system is where the organisational structure allows for the central management of single units that specialises along functional lines (marketing, production finance, personnel).

CHAPTER 1: INTRODUCTION AND BACKGROUND TO THE STUDY

1.1. Introduction

After the 1994 national democratic election, South Africa embarked on an ambitious process of democratic nation building and socio-economic transformation. The South African government reformed the governance system to allow all South Africans political and social ownership of the country. This reformed system of governance prepared government for the democratic transformation by addressing the legacy of apartheid. The first decade after transition to democracy, government focused on organisational restructuring, intensive policy development and comprehensive legislative reforms. South Africa restructured public finances, introduced new policies to address poverty, inequality and to grow the economy. The budget process, among others, became more transparent. Government introduced an outcome-based system to strengthen medium-term planning, and targets were set for deliverables in government's priority areas (Republic of South Africa (RSA), 2013a:30, 408).

Despite the introduction of a variety of reforms and policies, government realised, in 2010, that South Africa remained a highly unequal society where too many people lived in poverty and too few had jobs. The quality of education for many black learners was still poor. The apartheid spatial divide continued to dominate the landscape. A large proportion of young people felt that no opportunities were available to them. Government had to take steps to address these challenges and to gain trust in government policies (RSA 2013a:24). Fourteen national priority outcomes were introduced in 2012, as part of a long-term National Development Plan (NDP), vision, 2030. The vision is to provide for:

- Quality basic education
- A long and healthy life for all South Africans
- All people in South Africa are and feel safe
- Decent employment through inclusive economic growth
- A skilled and capable workforce to support an inclusive growth path
- An efficient, competitive and responsive economic infrastructure network
- Comprehensive rural development and land reform
- Sustainable human settlements and improved quality of household life
- Responsive, accountable, effective and efficient developmental local government
- Protect and enhance our environmental assets and natural resources
- Create a better South Africa, a better Africa and a better world
- An efficient, effective and development-oriented public service
- An inclusive and responsive social protection system

- Nation building and social cohesion. (RSA, 2014a)

The expectation is that this new vision will bring the change that is required for addressing poverty and inequality, stimulate economic growth and gain trust in the government to deliver as promised. If this new vision does not bring change, what is required for a better life for all?

Chapter 1 discusses the evolution of reforms to address the economic, social and administrative challenges in South Africa. To get an understanding of the failure to achieve targets and remaining challenges, the chapter focuses on the reasons provided for not achieving the targets as envisaged by government and policy reforms since 1994. The chapter identifies the challenges with policy implementation in the South African government and the risks associated with not implementing the NDP.

The chapter suggests further exploration of the literature to determine how obstacles to policy implementation could be identified. The suggestions are to gain an understanding of public sector reforms by exploring public sector best practices supporting policy implementation, mechanisms introduced in South Africa, and factors that influence policy implementation.

The ultimate aim is to identify the possible constraints that could prevent the successful implementation of the NDP and to make recommendations to government to ensure the successful implementation. The successful implementation of the NDP would ensure a decent standard of living for all citizens by eradicating poverty and reducing unemployment and inequality.

1.2. Institutional reforms post 1994

Since 1994, the political landscape has been altered, with the introduction of the three spheres of government (national, provincial and local government). National and provincial departments have been established through the amalgamation and restructuring of former apartheid administrations. These departments have gone through strategic planning exercise and have formulated their own visions, missions, policy objectives and strategic plans. In many cases, these strategic plans have been made public through the publication of Green or White Papers, provincial Growth and Development Strategies or other policy documents. Difficulty has, however, been experienced in securing the commitment from staff and other stakeholders to ensure effective implementation of such plans.

A broad policy framework for transforming the South African public service was outlined in the White Paper on the Transformation of the Public Service, 1995. The White Paper re-defined the role of the state and its relationship to civil society, based on a partnership between them rather than the antagonistic relations that had prevailed in the past. It was also consistent with

the White Paper on the Reconstruction and Development Programme, 1994 (RSA, 1996: par. 2.1.2 and 2.1.3)

The New Constitution of South Africa, 1996 stipulates that the public administration should adhere to a number of principles including:

- A high standard of professional ethics
- Services should be provided impartially, fairly and equitably
- Resources should be utilised efficiently, economically and effectively
- People's needs should be responded to
- The public should be encouraged to participate in policymaking
- Public administration should be accountable, transparent and development-oriented (RSA, 1996: par. 2.1.2).

A major achievement has been the re-integration of government, involving the complex and difficult task of rationalising and integrating eleven former administrations of the Republic of South Africa and “self-governing” homelands into a single public service, operating at national and provincial levels. The different accounting and financial systems, capacity and, in some cases, different work ethics from the various administrations had to be accommodated. The complex nature of this task explain some of the many problems that continue to afflict the new public service, including corruption and the incompatibility of systems (RSA, 1996: par. 2.1.2).

1.3. Macro development policy reforms post 1994

The first democratic election in 1994 made it possible for people in South Africa to begin to build one country that belongs to all who live in it. The dignity of the majority of South Africans, who had never voted before, was restored. All South Africans could now determine who would lead the country and fundamentally transform it from an apartheid state to a democratic state. At the onset of democracy, the new government inherited an economy in crisis. In 1994 the Reconstruction and Development Programme (RDP) was the first policy framework for democratic South Africa. The core of the RDP was a commitment to address the problems linked to poverty, unemployment and inequality, evident in almost all aspects of South African societies. Addressing poverty, unemployment and inequality was only possible if significant changes could be made to transform the South African economy and position it on a high and sustainable growth path. Active partnerships between government, civil society, business and labour were critical to improve the quality of life for all citizens and bring about the changes required for South Africa (RSA, 2014b:2,11 and 84).

The White Paper on Reconstruction and Development (1994: par.:6.2.1) required government to develop a ten-year vision embodied in a National Strategic Framework (1995/96–2004/05),

aligning public sector programmes with the goals of the RDP. Three-year rolling national action plans together with national sectoral policies and plans, and provincial policies and plans were expected to contribute to the alignment of sector programmes with the goals of the RDP. These requirements were never complied with by policy implementers. The RDP also did not deliver as envisaged.

According to SAHO (2014:1) the RDP was, nevertheless, successful in some areas such as social security, in which the government established an extensive welfare system. Challenges such as poor performance on economic growth affected the programme negatively. The public service was not efficient and effective, and the new government was unable to build the necessary state capacity. The lack of sufficiently skilled managers, policy coordination and implementation methods contributed to the under achievement of the targets set. The country as a whole also did not anticipate the impact of external shocks and changing international conditions (RSA, 2011b:4). Zarenda (2013:7) is of the view that, although the RDP was an attempt by government to address poverty and deprivation, it was not adopted beyond its vision. Correspondingly, Blumenfeld (1997:65) is of the view that the RDP initially received general political support. The support, however, started to erode within one year from implementation. Within two years, the separate ministry that was set up to implement the programme had been abolished. This abolition severely downgraded the RDP. Despite the downgrading, the key objectives of the RDP have continued to define public policy and have since 1994 been translated into strategies, programmes and budgets (RSA, 2011b:1). In some areas, the emphasis may have changed, but the broad objectives of eradicating poverty, creating employment and reducing inequality have remained (RSA, 2014b:11).

Factors that affected the effective implementation of the RDP identified by Koma (2013:147) include:

- Policy differences between the RDP office and the main social services departments
- Challenges with the coordination of budget and organisational processes within national government departments
- Government did not have the institutional capacity for implementing the RDP
- Government also found it difficult to coordinate the services delivered by non-governmental organisations
- Corruption (in some areas)

The challenges faced by the RDP necessitated the introduction of a macroeconomic policy framework. The Growth, Employment and Redistribution (GEAR) strategy was adopted by the Department of Finance in June 1996. Knight (2001:3) explains that GEAR was a five-year plan aimed at strengthening economic development, broadening employment, and redistributing

income and socio-economic opportunities in favour of the poor. The strategy further aimed to reduce fiscal deficits, lower inflation, maintain exchange rate stability, decrease barriers to trade and liberalise capital flows. Gavaza (2013:2) argues that GEAR was seen, at the time, by many as being in direct conflict or in opposition with the goals and objectives of the RDP. These objectives include poverty reduction and a more equitable distribution of wealth. In support of Gavaza (2013:2), Zarenda (2013:7) describes GEAR as a fiscally conservative policy that stimulated controversy. Le Roux (1997:47) attributes this controversy to the proposed direction of macroeconomic policy and the promises made by GEAR. Streak (2004:279) finds that the development legacy of the GEAR programming period was bleak. Inequality and poverty were not reduced and unemployment remained extensive. It even failed to meet its growth, employment and private investment targets.

In addition to the above, Koma (2013:151, 157) identifies some factors that affected the implementation of the GEAR strategy as:

- The ambitious and unrealistic setting of targets
- Flaws in terms of assumptions about the labour market, industrial policy, private sector investment, global economy and fiscal policy
- GEAR did not address the social challenges faced by South African societies, in specific, with regards to its predicted poverty reduction and employment creation targets.

In 2001 and 2002, government began moving away from the macroeconomic restrictions for stability towards microeconomic reform measures and opportunities for productivity growth and employment creation. In 2001, then President Thabo Mbeki confirmed the shift with the announcement of the Integrated Economic Action Plan. Within this strategy, microeconomics was the means to greater job-creating investment, more effective delivery of services and, ultimately, improving social equity. President Mbeki also emphasised the need for government to improve capacity for policy implementation and delivery.

According to Koma (2013:154), government acknowledged in 2003, again, that inequality and poverty had not been addressed successfully during the post-apartheid era. To address marginalisation and under development, President Mbeki argued that South Africa required sustained government intervention and resource transfers, including education and training, capital for business development and social and economic infrastructure, marketing information and appropriate technology. The Accelerated and Shared Growth Initiative for South Africa (AsgiSA) replaced the GEAR strategy in 2006. The 2006 Budget immediately prioritised funding for AsgiSA programmes. According to Gumede (2013:1-2), this initiative was to accelerate the growth of South Africa's economy and wealth redistribution. AsgiSA

acknowledged the challenges of continued poverty, driven by unemployment, small wages and the jobless nature of economic growth. Despite the perception that AsgiSA had a reasonable level of achievement, the level of implementation and future of the programme was uncertain. Furthermore, government did not report on the outcomes of AsgiSA. AsgiSA was spearheaded by the then deputy president Phumzile Mlambo Ngcuka who left office when President Mbeki was recalled in 2008, which resulted in AsgiSA coming to an end. Koma (2013:154), therefore, ascribes the termination of AsgiSA to the change in political leadership.

AsgiSA was then replaced with the New Growth Path (NGP), which was announced by President Jacob Zuma during the 2010 State of the Nation Address (SONA). Meyer (2013:18) finds that the NGP placed emphasis on job creation, the need to create decent work and a new policy orientation towards labour-intensive approaches. According to Koma (2013:155), the NGP was underpinned by a range of policy packages. It placed a lot of emphasis on employment creation. Other areas captured in the policy were rural development, agriculture, skills development, science, mining, tourism and social development, among others. The NGP was also a response to the global economic crisis of 2009. Government believed that the policy contained the required actions to alleviate the impact of the global economic crisis on the South African economy. The NGP was ultimately an attempt to provide policy on urgent economic issues such as job creation.

According to Meyer (2013:21-22), economic analysts responded negatively to the NGP and critics believed that the NGP [was] a vision rather than a plan. The NGP [had] no specific implementable actions it was rather a selection of policy packages. There was also confusion as to which national government department should oversee the implementation of the NGP. Meyer continues to relay major stumbling blocks preventing sustained development in South Africa [as] the lack of institutional capacity; the poor link between government and communities on the ground; and [the] lack of corresponding interventional plans. Political leadership [should] improve [and] to achieve sustained economic development, the NGP should have focused, in the short term, on infrastructure investment; thereafter, in the medium- to long-term the emphasis should have shifted to the manufacturing sector.

In addition to the negative response from critics, cited by Meyer (2013:21-22), Koma (2013:155) identifies the following factors that affected the implementation of the New Growth Path (NGP):

- The ability of government to spend on public infrastructure and effective communication between the three spheres of government related to public service delivery plans
- The influence of the weak global economy on the South African economy

1.4. Policy implementation failure

During the first ten to 15 years after 1994, efforts to improve the economic and social challenges faced by South Africa showed slow progress. Gross Domestic Product (GDP) growth averaged 2.9 per cent per annum during the first ten years. When taking population growth of 2 per cent into account, per capita income increased by 0.9 per cent per annum over the same period. According to the National Treasury (RSA, 2009b:18), the global downturn in 2008 led to real GDP growth contracting by 2 per cent in the first half of 2009 in South Africa.

Koma (2013:146) cites that poverty of the South African population declined during the first decade post 1994 (using a poverty line of R322 per capita per month (in 2000 prices, determined by the cost of a basket of goods and services)), from 52.5 per cent in 1995 to 47 per cent in 2005. Despite this improvement in alleviating poverty, 47 per cent was still regarded as a high proportion.

According to a BusinessTech (2015:2) report, the country's worst levels of unemployment were experienced in 2002 and 2003, when the rate increased to over 27 per cent. Moya (2017:1) reports on data from Statistics South Africa (StatsSA) that the unemployment rate in South Africa reached an all-time high of 31.2 per cent in the first quarter of 2003. In 2004 and 2005 the unemployment rate improved to 24.7 per cent and 23.8 per cent respectively. The National Treasury reported that, in June 2009, the broad measure of unemployment had risen to 29.7 per cent from 26.7 per cent in December 2008 (RSA, 2009b:27).

According to Gumede (2013:19-20), the South African government has made concerted efforts to deal with the historical economic and socio-economic challenges in the country. More is, however, required to get the country to the envisaged post-apartheid society. Gumede (2013:19-20) further argues that the strategies and programmes introduced since the mid-2000s have not addressed the constraints that needed policy reforms. According to Gumede (2013:20), policy implementation is more of a challenge when policies are inappropriate or weak. In support of Gumede (2013:20), Zarenda (2013:8) finds that development planning on the African continent since the 1960s has yielded limited success. Zarenda (2013:8) attributes this limited success to insufficiencies in the plans and failure to implement them; and further cited the ambitious setting of targets, a lack of capacity, external shocks and political factors as reasons for the unsuccessful implementation of policies.

1.5. What is required to address the challenges facing South Africa?

Despite several reforms since 1994, challenges with the successful implementation of policies, strategies and plans hinder the government of South Africa's ability to reduce poverty,

inequality and unemployment. Implementation challenges include problems with the coordination of the planning, budgeting and organisational processes within government departments; budget estimates not expressing policy prioritisation; and performance indicators not providing an effective basis for measurement and management.

In 2009, the South African government, like other governments around the world, acknowledged the need to further reform policies and to resolve challenges over a longer time frame. Government resolved that medium-term programmes should be used as stepping stones towards the achievement of longer-term goals (RSA, 2009a:4,10). A drastic change in the country's performance was the only way to address the immense challenges. South Africa had to translate political autonomy into economic well-being for all citizens by accelerating performance, deepen democracy and build more inclusive societies (RSA, 2013a:24).

In 2010, South Africa established a National Planning Commission (NPC) to identify and scrutinize key challenges and obstacles that had an impact on the social and economic development of the country.

In June 2011, the NPC released a diagnostic report, which sets out South Africa's achievements and shortcomings since 1994. The report identified the failure to implement previous economic policies and the absence of broad partnerships as the main reasons for slow progress in alleviating poverty, unemployment and inequality. The diagnostic report identified the persistence of poverty, unemployment and inequality as the key challenges that South Africa needs to overcome. Another problem outlined by the diagnostic report was the high policy turnover. There was little use of evidence in policy development, little use of data, or best practice or even lessons from piloting. According to the diagnostic report, the identified challenges for successful policy implementation were mainly due to government using an approach that provides results within a single term in office. A more strategic approach over a longer time frame was required to solve the challenges (RSA, 2011b:1, 23, 364).

Meyer (2013:18) cites that in 2011, the State of the Nation Address (SONA) identified five nationwide priorities linked to the diagnostic report of the NPC. The key priorities listed in the 2011 SONA and in the diagnostic report were well defined and clear. To address these priorities, it was mandatory for government to formulate and implement the necessary national policies and plans to speed up service delivery.

The diagnostic report further directly informed the development of the NDP for South Africa. The NDP was adopted in 2012, subsequent to an extensive consultation process during the development stage. The NDP sets out the steps that South Africa needs to follow to overcome its challenges and to achieve the 2030 vision (RSA, 2014b:18).

Government introduced the NDP as South Africa's long-term, socio-economic development roadmap in early 2013. Government acknowledged that to ensure implementation by 2030, there would be a need for funding, capacity, restructuring, reprioritisation, prioritisation and also reporting and monitoring procedures and systems. The successful implementation of the NDP requires focused leadership. It needs institutional reform and the mobilisation of resources. It further requires trade-offs, a willingness to prioritise and the need for careful sequencing for implementation (RSA, 2013b:1-7).

The aim of government with the NDP is, primarily, to turn the wealth of South Africa around by 2030. This turnaround strategy includes all key sectors, with a targeted focus on the triple challenge of poverty, unemployment and inequality. It is informed by a long-term viewpoint on development and, as such, its implementation over time requires more than the normal political term of five-years for a government administration. By implication, this viewpoint should involve all political parties and all South African citizens (RSA, 2017b:566).

The NDP is distinguished from its predecessors – the RDP, GEAR, AsgiSA and the NGP – mainly as a result of its development based on a well-researched diagnostic of the country. The NDP is, further, a long-term plan that is meant to be implemented through three 5-year Medium-Term Strategic Frameworks (MTSFs), monitored by the Department of Planning Monitoring and Evaluation through the Programme of Action. The MTSF further offers the executive, researchers and policy implementers an opportunity to create stability and identify blockages for successful implementation.

One of the former Ministers in the Presidency for Planning, Monitoring and Evaluation, Jeff Radebe, released the first NDP implementation framework, the 2014–2019 MTSF in 2014. The 2014/15 Programme of Action report was the first report available for monitoring progress towards the implementation of the 2014–2015 MTSF.

In reviewing several evaluations of policies adopted in South Africa for addressing poverty, unemployment and inequality since 1994, it is believed that the NDP attempts to address the shortcomings of policies formulated in the past. The NDP also highlights the need to improve the quality of administration and government activities to ensure effective and efficient policy implementation. Gumede (2008:15) mentioned that the starting point for South Africa's public policymaking approach was institutional reforms, together with the development of necessary legislative foundations. Given the unsatisfactory implementation rate of previous policies, the question arises whether these reforms and legal frameworks sufficiently support policy implementation? A further question arises in terms of how government could ensure that the existing administrative, organisational and budget structures and processes support the implementation of the NDP?

Exploring the governance reforms introduced since 1994 in South Africa and identifying the factors, identified by theory, influencing policy implementation, might provide the absent link for what is required for successful policy implementation.

1.6. The aim of the study

The aim of this study is; therefore, to identify the blockages that prevent successful policy implementation in South Africa. This will be done by gaining an understanding of public sector reforms over time and current trends in public sector management; and exploring public sector best practices supporting policy implementation, mechanisms introduced in South Africa, and factors that influence policy implementation. The focus is specifically to identify the possible constraints that could prevent the successful implementation of the NDP and to make recommendations to government to ensure the successful implementation of the NDP. The study acknowledges the fact that the time-frame of the NDP has not been concluded. The intention is not to conclude on the success or failure of the implementation of the NDP.

The following objectives were set to achieve the aim:

- To discuss the key public sector reforms and mechanisms to ensure successful policy implementation.
- To determine the key factors for successful public policy implementation.
- To develop an integrated model to guide policy implementation and analysis, in the public sector.
- To analyse and assess the South African National Development Plan against the proposed model.
- To offer recommendations to government based on the findings to improve the successful implementation of the NDP. The recommendations will be aimed at all levels of government including public entities.

To achieve the objectives, the study will draw on existing literature and global public sector practices to build a model for policy implementation analysis.

The empirical data will explore public sector management mechanisms supporting policy implementation and key proposals on factors that facilitate policy implementation. The mechanisms will be categorised within a framework of common factors that influence policy implementation, identified by different scholars. This categorisation will form the basis for the development of a practical policy implementation analysis tool. The analysis tool will be proposed as a model for the analysis of the policy process, from the design to the review

stage. The proposed model will be applied to assess the status of the content, causal effect of concepts and management, and the context of the first five-year implementation plans and reports on the NDP. The main purpose is to identify potential blockages to implementation against the model so as to inform recommendations to improve successful implementation.

1.7. Potential failure and risks associated with the failure to implement the National Development Plan

A plan is only credible if its delivery mechanism is workable. There is a real risk that South Africa's developmental agenda could fail due to the state's inability to implement the NDP. The NPC made institutional reform proposals to remedy the uneven and often poor performance in public service delivery at all three levels of government (RSA, 2013a:54).

According to the NDP, full employment, decent work and sustainable livelihoods are the only way to improve living standards and to ensure a dignified existence for all South Africans. The NDP proposes the expansion of the macro economy to absorb labour and to improve the ability of South Africans and institutions to respond to opportunities and challenges. To achieve full employment, the South African economy needs to grow by 5.4 per cent, on average, per annum until 2030. The NDP is also very specific in listing poverty reduction objectives for 2030. The NDP aims to reduce the number of people who live in households below R419 (poverty line in 2009 prices) from 39 per cent (2008/09) to zero in 2030 (RSA, 2013a:34, 39).

The main elements identified in the NDP for a respectable standard of living, as summarised by Morris (2013:8), are the delivery of:

- "Housing, water, electricity and sanitation;
- safe and reliable public transport;
- quality education and skills development;
- safety and security;
- quality health care;
- social protection;
- employment;
- recreation and leisure;
- clean environment; and
- adequate nutrition".

Failing to address these elements is likely to result in lower living standards, growing competition for resources, social tension and the persistence of high levels of poverty (RSA,

2011b:4). Failure to deliver these elements will result in not achieving the aim of the NDP, which is to ensure a respectable standard of living for all citizens. Eradicating poverty, the reduction of unemployment and inequality are the avenues through which the aim of the NDP is to be achieved. If government wishes to eradicate poverty, reduce unemployment and inequality it is critical that the NDP is successfully implemented.

A review by the Department of Planning, Monitoring and Evaluation on the implementation of the NDP between 2014 and 2019 finds that “progress has been made towards realising the goals of the NDP, across economic services, social services, building a capable state and fostering active citizenry. Progress is, nevertheless, uneven across sectors. Performance on NDP actions that require cooperation across multiple departments, spheres of government or non-governmental stakeholders, shows poor progress” (RSA, 2018b:14-15). This review shows the performance of the NDP against the policy goals and outcomes. It is, however, not clear how this qualitative finding on the progress with the implementation of the NDP was determined. The main interest is to understand the degree of progress and what poor progress means and to find the reasons for the perceived poor performance.

The implementation evaluation in this study will be based on a proposed model for policy implementation analysis, which will identify the blockages for implementation. Recommendations will be made for immediate consideration by government.

1.8. Merit of the research and proposed contribution to science

After more than 20 years of democracy, government has achieved a number of acknowledgeable results in meeting governance obligations. However, in reality some communities are suffering due to poverty, unemployment and under-development. To meet the needs of communities, the National Planning Commission (NPC) recommended, amongst others, the reform of the public sector. According to the NPC the implementation of a plan is just as credible as its delivery mechanism (RSA 2011b: 22). Identifying and addressing institutional challenges that prevent the successful implementation of government programmes is, therefore, required to examine the challenges faced by the South African government to successfully implement policies, which would ultimately result in service delivery.

A review of existing literature on successful policy and programme implementation is required to propose a model to identify the blockages that prevent successful policy implementation. The research will start by gaining an understanding of public sector reforms over time; exploring current trends in public sector management and best practices supporting policy implementation; reviewing mechanisms introduced globally and in South Africa; and

identifying factors that influence policy implementation. The acquisition of systematic knowledge aims to explain and identify the link between policy intent, policy action and policy outcome.

The value of this study is twofold. Firstly, it will develop a new model – as supported by the view of Mouton (2001:177), who argues that science cannot make progress without the development of new models – describing policy implementation analysis. And secondly, it will apply the proposed model to the NDP. The findings will inform government on what is required to ensure the successful implementation of the NDP.

The proposed model for policy implementation analysis aims to simplify and consolidate the various theoretical viewpoints on policy implementation and successful public sector management. The model will be structured to assist policy implementation analysts to assess policy implementation over the entire policy process.

The developed model will be used to analyse the status of the implementation of the NDP to identify critical steps to be taken to ensure successful policy implementation of the NDP. Recommendations to government based on the implementation evaluation should contribute to improving public finances management and policy implementation in South Africa. The implementation of the NDP would ultimately address the social and economic challenges facing the country.

1.9. Delineation of the research

The research is conducted in the public sector. The focus is on the requirements for successful policy implementation in the public sector. Governance and policy implementation theory will be consulted. Frameworks and guidelines (introduced by the South African government) for policy development, implementation and reporting will also be consulted, specifically for the policy evaluation process. The study will bring theory and practice together in the South African context. In addition to theory and practice, international good practice for policy implementation will assist with the final recommendations.

1.10. Chapter outline

Chapter 2: Research design and methodology

Chapter 2 includes a description of the elements of the research design. It starts with the research strategy followed by methods, data collection techniques and analysis. The chapter ends with explaining the methods used for the analysis of the implementation of the South African National Development Plan (NDP), vision 2030 as a case for policy evaluation.

Chapter 3: Public sector reforms and mechanisms for successful policy implementation

Chapter 3 explores the elements of public administration and the evolution of public administration, which is a global phenomenon to ensure efficiency and effectiveness in delivering public services. The chapter further describes the basic principles of the reforms and the selective reforms adopted by countries. Over time the focus of reforms shifted to the introduction of more holistic performance management systems. Various performance management systems and administrative processes, including the elements of performance management systems, are described. The chapter explores the influence of public sector reforms on service delivery/policy implementation and the lessons learnt for further reforms. The chapter ends with a summary of the reforms implemented in South Africa.

Chapter 4: Factors influencing successful public policy implementation

Chapter 4 explores the progress made in policy implementation research, including the change in the policy implementation research landscape. The chapter includes the identification of factors, agreed upon by scholars, that influence policy implementation, and the involvement of instruments to operationalise policy intent. It further discusses the strategic, technical and operational activities involved in the policy process. The chapter concludes with an explanation of the need for public policy and the determination of success or failure during the policy process.

Chapter 5: Developing a model for assessing policy implementation in the public sector

The chapter builds on the discussions of public sector management mechanisms in chapter 3 and the main categories of factors for successful policy implementation in chapter 4. Some of the earlier models and frameworks are presented for successful policy implementation. These frameworks represent some of the factors outlined in chapter 4. It also shows the interlinkages of these factors influencing policy implementation. An assessment of earlier models against a theoretical framework provided by the 5C protocol (see chapter 4: five categories of factors identified from a survey of more than 300 empirical studies) identifies the defining characteristics of a model as well as its comprehensiveness and practical application. The

chapter ends with combining elements of public sector performance management mechanisms and factors influencing policy implementation into a concise model for policy implementation analysis.

Chapter 6: Analysis of the South African National Development Plan, vision 2030

By simplifying multiple factors involved in policy implementation, the model provides direction for getting a better understanding of the reasons for the perceived poor performance against the goals of the NDP. The proposed policy implementation analysis model acknowledges the multidimensional characteristics of the public policy process. The model is applied in a systematic manner, while avoiding evaluative and therefore premature qualifications in terms of success or failure.

Chapter 6 starts with the policy implementation framework for South Africa followed by a description of the NDP. The analysis of the implementation of the NDP against the proposed policy analysis model includes an analysis of the content, causality, context, capacity and control.

Chapter 7: Recommendations and conclusion

The objective of chapter 7 is to make recommendations to the South African government on what is required for the successful implementation of the NDP. The aim is not to recommend changes on the strategic direction of policies, but to focus on the blockages for policy implementation. Although the analysis of the implementation of the NDP has gone into detail to show how policy analysis, using the proposed model, could work in practice, the recommendations are not overly prescriptive. The proposals are also not entirely new. Legislation, regulations, guidelines and frameworks have been introduced to ensure that the content of planning documents is of good quality, that causality and the theory of change are reflected in government documents and that the context is provided to ensure capacity and the control of policy implementation. Mechanisms for the decentralisation of service delivery have also been introduced in the public sector through clients and coalitions. It is just a matter of ensuring that all these processes and systems are embedded in practice and controlled.

The chapter starts with the status of the first five-year implementation plan for the NDP. It continues with the objectives and findings of each factor that influences policy implementation. Each section includes recommendations for improving the content, causality, context, capacity, control, and client and coalition factors that could cause blockages for the successful implementation of the NDP. The chapter ends the study with an overall conclusion.

1.11. Summary

Challenges with the successful implementation of policies, strategies and plans have been identified as reasons for South Africa not reducing poverty, unemployment and inequality. In 2009, the South African government, like other governments around the world, acknowledged the need to further reform policies and to solve challenges across a longer time frame. Government resolved that medium-term programmes should be used as stepping stones towards the achievement of longer-term goals.

In 2011, the national planning commission (NPC) released a diagnostic report, which sets out South Africa's achievements and shortcomings since 1994. The diagnostic report directly informed the development of a National Development Plan (NDP), vision 2030 for South Africa. The NDP attempts to address the shortcomings of policies formulated in the past. The NDP also highlights the need to improve the quality of administration and government activities to ensure effective and efficient policy implementation.

To prevent a repeat of historical trends in policy implementation, South Africa needs to consider all identified challenges to ensure the implementation of policies that address poverty, unemployment and inequality. Research is, however, needed to identify those challenges that prevent successful policy implementation in South Africa.

The aim of this study is to identify the blockages that prevent successful policy implementation in South Africa. The focus is specifically to identify the possible constraints that could prevent the successful implementation of the NDP and to make recommendations to government to ensure the successful implementation of the NDP.

The value of this study is twofold. Firstly, it will develop a new model to explain policy implementation and secondly, it will include an implementation evaluation, based on the proposed model, that informs government on what is required to ensure the successful implementation of the NDP.

The proposed model for policy implementation will simplify a wealth of theoretical concepts in the fields of public sector management and policy implementation. The model will be structured to assist policy implementation analysts, globally, to assess policy implementation over the entire policy process.

This study will further identify critical steps for policy implementation in the South African government. Recommendations to government will be based on the implementation evaluation, which should improve public sector performance and policy implementation in South Africa. The implementation of the NDP would ultimately address the social and economic challenges facing the country.

CHAPTER 2: RESEARCH DESIGN AND METHODOLOGY

2.1. Introduction

Chapter 2 provides the personal attributes of the candidate, which directed the design and methodology used to explore the problem identified in chapter 1.

Following from the historical challenges faced by the South African government identified in chapter 1 and the subsequent interventions to improve policy implementation, a review by the Department of Planning, Monitoring and Evaluation on the implementation of the current National Development Plan (NDP), vision 2030 confirms assumptions that progress with the implementation of the NDP is slow and uneven across sectors (RSA, 2018b:14-15).

The personal attributes of the author, together with her ontological orientation and philosophy, guided her decision to explore the assumption and findings from the Department of Planning, Monitoring and Evaluation. Philosophies were evaluated against theory and public management practices. She further views reality as the result of constructive processes involving a subject, which are according to Schurinck (2015:16) a subjective point of view, the development of theory from empirical research and to construct diagnostic tools or concepts, typologies, models and theories grounded in the intimate familiarity with people in the situation.

To explain the assumption and findings of slow and uneven progress with the implementation of the NDP requires the analysis of planning documents and performance data. The use of an analytical tool or model was, however, required to test and explain the findings in a systematic manner. Despite the fact that a variety of models, frameworks, tools and guiding policy implementation exist, the construction of a model that considers the South African situation was required. Mouton (2001:158 and 177) confirms that through the construction of models certain phenomena in the world could be explained and implementation evaluations could confirm success or failure of an intervention.

The main technique used for the model-building research was a review of existing literature. The review provided previous and the most recent findings in the field of this study. Suggestions about different avenues to follow constituted the most useful information provided by the review. The literature reviews not only provided theoretical insights but also provided the basis for developing a model to fit the description of evaluation research or implementation process evaluation. Implementation evaluation research, as defined by Mouton (2001:158), aims to answer questions such as whether a policy has been properly implemented according to the design and whether the intervention has reached the target group as planned.

This chapter includes a description of the elements of the research design. It starts with the research strategy, followed by methods, data collection techniques and analysis. The chapter

ends with an explanation of the methods used for the analysis of the implementation of the South African National Development Plan (NDP), vision 2030 as a case study evaluation.

2.2. Research strategy

The aim of the research is to explore the reasons why the South African government struggles to implement policies. Such exploration required research on the evaluation of the policy implementation process. The NDP has been used as an example to evaluate progress with the implementation of the policy using a proposed model for policy implementation analysis. The research therefore also included model-building research to be able to determine progress and identify reasons for not making progress with policy implementation in a structured, scientific manner.

According to Mouton (2001:158, 176 and 177), model-building theories occur through inductive or deductive strategies. The inductive modes of reasoning involve model building to fit certain practical data, while the deductive approach is more formal in nature, where a set of hypotheses is formulated and taken as the truth. A hybrid of practical, numerical and textual data is required for model building as well as for implementation evaluation research. Implementation evaluation studies also involve the analysis of existing documents on a selected case depending on the type of process evaluation.

Although a hybrid of numerical and textual data is required for the research, Maree and Van der Westhuizen (2009:24-25) supported by Saunders et al (2009:141-150) identify a case study, textual data and documents (the main sources) as qualitative modes of inquiry. These qualitative data collection techniques have been classified by Kothari (2004:35-36) as an inductive approach suitable for exploratory research.

An inductive approach has been taken for designing the model building and implementation process evaluation exploratory research for this study.

2.3. Method

The development of a model for policy implementation required exploratory research to gain preliminary insight into the mechanisms available for policy implementation as well as an understanding of the existing models simplifying the factors that influence policy implementation.

A range of research methods is available, which vary by the source of information, for example, whether qualitative data, quantitative data or both are collected. According to Money (2015:26-27), a qualitative approach is the most suitable method for exploratory research opportunities.

Auriacombe & Schurink (2012:147, 152) point out that qualitative researchers generally apply selective methods to answer specific research questions. The qualitative researcher examines and interprets new information and compares it with known knowledge. The research, therefore, started with exploring several sources of information linked to the topic.

2.4. Data collection, analysis and quality assurance

According to Willig (2013:24), the objective of qualitative data collection is to create a comprehensive record of information. Qualitative researchers need to be careful during the data analysis phase to consider all relevant information to ensure validity of the information, which is the extent to which research describes, measures or explains what it aims to describe, measure or explain. To ensure a comprehensive record of information and validity a framework to guide the data collection process has been developed.

2.4.1. Data collection techniques

A framework by Maree and Van der Westhuizen (2009:27) was adopted to guide the data collection process. Table 2.1 shows the qualitative data linked to the research question and objectives of the study. The table also presents the purpose of collecting specific data.

Table 2.1: Linking the research question and objectives to data collection techniques

Question and objectives	Qualitative data	Purpose
Does South Africa need further reforms to address policy implementation challenges?	<ul style="list-style-type: none"> • Administrative documents reviewed, analysed and evaluated • Discussions 	<ul style="list-style-type: none"> • To determine the processes implemented by the South African government through which policies are operationalised and monitored.
To discuss the key public sector reforms and mechanisms to ensure successful policy implementation.	<ul style="list-style-type: none"> • Literature review 	<ul style="list-style-type: none"> • To understand public administration trends over time.
To determine the key factors for successful public policy implementation.	<ul style="list-style-type: none"> • Literature review 	<ul style="list-style-type: none"> • To identify common factors/criteria for success.
To develop an integrated model to guide policy implementation and analysis, in the public sector.	<ul style="list-style-type: none"> • Literature review • Administrative guidelines and frameworks 	<ul style="list-style-type: none"> • To develop a framework for policy implementation analysis.
To analyse and assess the South African National Development Plan against the proposed model.	<ul style="list-style-type: none"> • Administrative documents and data 	<ul style="list-style-type: none"> • To identify the reasons for policy failure in South Africa.

Question and objectives	Qualitative data	Purpose
To offer recommendations to government based on the findings to improve the successful implementation of the NDP.	<ul style="list-style-type: none"> • Record findings from analysis and evaluations captured • Recommendations based on the findings and best practices 	<ul style="list-style-type: none"> • To ensure the effective implementation of the NDP, vision 2030. • To make recommendations to government.

Source: Maree and Van der Westhuizen (2009:27)

Subsequent to the development of the framework, the collection and exploration of literature focused on the objectives of the research. The literature included a collection of research publications, books, presentations and other documents. The focus was furthermore on text rather than numbers.

2.4.2. Data collection

Observations, during oversight meetings in the Parliament of the Republic of South Africa to monitor performance on the implementation of the NDP as well as departmental plans, are that, despite the South African government's interventions to improve policy implementation, challenges with implementation remain. In addition to the monitoring of performance, Members of Parliament are interested in performance against expenditure. In many instance the comparison of performance against expenditure is not possible due to the nature of the budgeting mechanisms introduced in government, the nature of performance indicators and the decentralisation of functions. Observations, discussions and conversations with public service managers and exposure to performance reports provided the basis for initial document collection and reading. Initial reading started with literature on public management. By reading and interpreting the text simultaneously, public management reforms were identified as a concept that links to processes beneficial for effective policy implementation. The collection of information on policy implementation followed. During the literature review of the policy implementation data the complexity of the subject was realised. Additional concepts had to be explored in the literature. This exploration assisted with refining the concepts that determined the framework for the research and further data collection.

The literature identified public sector management systems and processes, including performance-based budgeting and factors influencing policy implementation, as the two main concepts underpinning the study. During the literature review process, notes were kept, and key concepts were identified and highlighted. Documents were categorised and colour coded according to the main concepts. Hard copies as well as electronic copies (where possible) of all literature were stored and listed.

Observations made over time and conversations with officials in the policy implementation field identified tensions and challenges in the policy implementation field. These challenges provided an opportunity for further exploration and analysis of government practices. The collection and evaluation of government publications were necessary to be able to compare theory with practice.

The South African government guidelines for planning, budgeting, reporting and monitoring and evaluation were studied. These guidelines include, among others:

- An annual guide on the preparation of medium-term budget submissions for national and provincial departments, issued by the National Treasury. The guide is issued in terms of section 27(3) of the Public Finance Management Act (PFMA), 1999 (Act No. 1 of 1999).
- A Framework for Managing Programme Performance Information (RSA, 2007a) describes:
 - “The role of performance information in planning, budgeting and reporting;
 - The position of performance information in performance management;
 - The relation between programme performance information and the Government-wide Monitoring and Evaluation System;
 - The key concepts in planning and performance management, including the criteria for the development of a good performance indicator;
 - A method for developing performance indicators;
 - The capacity required to manage and use performance information;
 - The responsibilities of the main government institutions in the coordination of performance information; and
 - The need for the publication of performance information”.
- The Guide to the outcomes approach (RSA, 2010a) provides detail on how to plan for outcomes and impact through relevant inputs, activities and outputs. Guidance is also provided on the development of clear indicators, baselines and targets to measure change and to ensure reliable information for planning purposes.
- The Framework for Strategic and Annual Performance Plans (RSA, 2010c) explains:
 - “The position of the Framework within the broader Government-wide Monitoring and Evaluation System focusing mainly on the monitoring of outcomes;
 - The location of policies, plans (including long-term infrastructure projects and plans) and programmes within the context of departmental strategic and annual performance plans;

- The role of strategic and performance plans with regard to legislation, policies, programmes and budgets;
 - The role of strategic and annual performance planning in the budget process and in relation to government's broader policy, planning and prioritisation processes;
 - Linkages between outcomes-oriented service delivery and results-based programme planning;
 - The difference between different planning, budgeting and monitoring and evaluation documents, and the logic flow of information between these documents;
 - The main concepts of strategic and annual performance plans; and
 - The use of a generic format for strategic plans and annual performance plans".
- Standard government documents are developed in terms of the Public Finance Management Act (PFMA), Act No. 1 of 1999 and consist of, among others:
 - Estimates for National Expenditure and a Budget Review consolidating resource allocations per department and programme;
 - Departmental strategic plans, which reflect departmental goals and strategic objectives with five-year targets;
 - Departmental annual performance plans provide details of strategic objectives; and indicators with targets for the current year and the medium-term period per programme.

The implementation of the South African National Development Plan (NDP), vision 2030 is an ongoing discussion, especially in the Parliament of the Republic of South Africa, which has an oversight role in the implementation of policies. Observations during presentations by government on the implementation of the NDP to Parliamentary Committees created the perception of slow progress on implementation due to challenges (such as funding and reporting) faced by government. The information collected and evaluated on the NDP includes the 2014–2019 Medium-Term Strategic Framework (MTSF) (RSA, 2014a), which is the first five-year building block towards realising the NDP outcomes. The Programme of Action (POA) (RSA, 2014e and 2017d) reports provide detailed performance information on the sub-outcomes, actions, performance indicators and targets of the 2014–2019 MTSF.

2.4.3. Data analysis

A thematic approach was taken for considering and interpreting the information according to the objectives of the research. The research started with considering information to be able to identify mechanisms for policy implementation. The second part of the literature reviewed, examined the outcomes of previous research on policy implementation and how the views of

scholars changed over time. The interpretation of the data from the literature reviewed assisted with the development of a model for effective policy implementation analysis. The proposed policy implementation analysis model has been tested by applying it to a current policy (NDP) being implemented in the South African government.

A summary of the actual procedures is presented below.

2.4.3.1. Mechanisms for successful policy implementation

The author examined the elements and evolution of public administration that ensure efficiency and effectiveness in delivering public services, in order to be able to determine the mechanisms for policy implementation in the public sector. The analysis further interpreted the basic principles of the public administration evolution and the selective reforms adopted by countries. Over time the focus of reforms shifted to the introduction of more holistic performance management systems. The influence of public sector reforms on service delivery/policy implementation was identified and the lessons learnt for further reforms were considered.

2.4.3.2. Factors influencing policy implementation

To be able to identify the factors agreed upon among scholars, the progress made in policy implementation research, including the change in the policy implementation research landscape, was examined. The identification of factors influencing policy implementation involved the comparison of factors, categorising of factors, identification of criteria and conditions, for policy implementation presented by different scholars of policy implementation. A change in policy implementation research was noted from the literature reviewed. This change involves the use of instruments to operationalise policy intent in the policy process. The strategic, technical and operational instruments involved in the policy process were then reflected upon for further interpretation.

2.4.3.3. Developing a model for assessing policy implementation

The reflection and interpretation of earlier models for policy implementation mostly presented the requirements for policy implementation. For the purpose of this research a model for analysing policy implementation was, however, required. The interpretation of a comparison of earlier models combined with elements of public sector performance management mechanisms resulted in the development of a framework that formed the basis for the development of a concise model for policy implementation analysis.

2.4.3.4. Analysis of the South African National Development Plan

A comprehensive analysis of the National Development Plan (NDP), vision 2030 is presented in chapter 6 of this research. Progress with the implementation of the NDP was made according to the elements of the proposed model for policy implementation analysis. The content of the NDP was compared with standards set for the standard accountability documents of government. The performance indicators and targets in the original published 2014–2019 MTSF (the first five-year implementation plan of the NDP) were assessed against the standards set for the development of performance indicators and targets. To be more specific, the focus for performance indicators was on the logical relation of the indicator to the outcomes and sub-outcomes in the 2014–2019 MTSF, also considering the mandate of the implementing institution (in most instances the national level of government). The targets set for the 2017/18 financial year were assessed against the ‘SMART’ criteria, which are as follows:

- Specific: “the nature and the required level of performance can be clearly identified”
- Measurable: “the required performance can be measured”
- Achievable: “the target is realistic given existing capacity”
- Relevant: “the required performance is linked to the achievement of a goal”
- Time-bound: “the time period or deadline for delivery is specified”

The analysis to determine causality included the assessment of:

- The alignment of planning and budgeting concept.
- The degree of the incorporation of MTSF indicators into annual performance plans, in other words, the alignment of national priorities with government plans.
- The suitability of programme structures to provide the legal framework for implementing the national policy priorities/outcomes.
- The alignment of structures (components) involved in the planning, budgeting and reporting processes.

These analyses involved a comparison of the different planning concepts used in the MTSF and the planning and budgeting concepts in the standard accountability documents produced by the South African government departments and entities.

The degree of the incorporation of MTSF indicators into annual performance plans, in other words, the alignment of national priorities with government plans, was assessed by comparing the performance indicators reflected in relevant annual performance plans with the performance indicators contributing to the respective MTSF sub-outcomes.

The MTSF sub-outcomes were compared with the purposes of relevant departmental budget programmes to gauge the suitability of programme structures to provide the legal framework for implementing the national policy priorities.

The method used to determine the alignment of the coordination, planning and budgeting structures consists of two parts. The first part consisted of the assessment of the framework of the budget function groups (see Appendix C). as presented in RSA (2018a: ii-iii). The number of departments within a budget function group were counted and compared with the number of national departments responsible for the implementation of the respective outcomes of the MTSF. The second part consisted of an assessment of the alignment of the NDP national outcomes with the visions of departments and the budget vote purposes of the lead departments for the national outcomes.

The context, capacity and control element of the proposed model for policy implementation analysis focused on the processes, structures, systems and oversight mechanisms introduced in the South African public sector.

A simple count, from the Programme of Action report (RSA, 2017d), of the reporting on targets and the indication of processes and systems provided the results for the interpretation of the availability of processes. The examination of the mechanisms introduced in the South African public sector shows that a results-based management approach involving programme performance budgeting is in operation. This mechanism provides for suitably scoped, sized, capacitated and empowered units within departments to facilitate economical, efficient, effective and equitable performance and delivery of services.

The South African government introduced a web-based quarterly reporting system (Programme of Action reports) on the NDP. To be able to identify possible shortcomings in the system, a survey of the system used for reporting on the NDP was compared with the system used for the standard accountability documentation in government.

The monitoring of the implementation of the NDP since its inception involved the comparison of the set targets per performance indicator with the actual outcomes reported. Performance indicators were not weighted. The number of targets achieved were reported as a percentage of the total number of targets set, per performance indicator, for a specific financial year. In specific cases where numerical targets were set, achievements above 50 per cent of the set target were reported as partially achieved.

2.4.4. Quality assurance

Given that the candidate relied on her own reference frame and experience in the public sector, comments on the analysis of the NDP implementation mechanisms in terms of the adopted model were required from a team of reviewers who are regarded as experts in the field of study. The aim of the peer review was to strengthen the reliability of the findings and to ensure that the findings presented a balanced perspective. The peer review was further to ensure that the research does not omit important considerations outside of this reference frame.

Six reviewers were requested to participate, four accepted the invitation, while only two responded within the timeframe provided. The first reviewer has a full-time academic and research career of more than 20 years at 3 South African universities, while he was also for short periods a visiting professor at 2 overseas universities. The reviewer holds, amongst others, an LLB degree from the Rand Afrikaans University and a D Phil degree in Political Science from the University of Stellenbosch. Before the reviewer's current academic appointment at the university he was a Senior Research fellow at the Centre for Policy Studies, then at Wits in Johannesburg, and after that the Head of the Department of Development Studies at the Rand Afrikaans University in Johannesburg.

In addition to the reviewer's academic experience he has built up extensive career experience in different government departments in the South African public sector over a period of 17 years. The reviewer was, amongst others, Chief Director of Constitutional Planning in the Department of Development Planning and held a similar policy planning position in the Office of the President. In this capacity the reviewer was closely involved with policy analysis and planning, drafting of legislation, facilitation of negotiations about political change in South Africa and various staff training programmes.

The second reviewer has almost 20 years' consultancy experience and particular technical expertise in the institutional arrangements for effective budget and public financial management and governance, aid delivery, and human rights in development. The reviewer has undertaken significant evaluation and programme review work and research on fiscal transparency and social accountability, financial governance, putting aid on budget, budget support management, economic justice, and budget and policy analysis. The reviewer holds an MSc Public Policy and Management, CeFMIS, SOAS, University of London (2004), an BA Philosophy (cum laude) and Political Philosophy (cum laude), University of Stellenbosch (1985), an BA (Hons) Journalism (cum laude), University of Stellenbosch (1987), an BA (Hons) Political Science, University of Cape Town (1989) and an BA (Hons) Business and Administration, University of Stellenbosch Business School (1994).

The reviewers provided feedback on the overall analysis of the implementation of the NDP, in specific whether the analysis highlights the important stumbling blocks for the successful implementation of the NDP. Comments mainly focused on the methodology used for the analysis as well as the findings. In most instances the reviewers agreed on the findings. In some areas the reviewers asked clarity seeking questions and asked for more critical analysis. In two instances the reviewers disagreed with the interpretation and application of specific theories and models. The reviewers also provided their own perception on the reasons for the perceived slow progress with the implementation of the NDP.

Recommendations from the reviewers were considered and incorporated in chapter 6. Sections that were unclear or sometimes misinterpreted by the reviewers were reviewed. Where reviewers did not agree, the authors own views were explained and substantiated. The review process provided the assurance that the research presents a balanced perspective.

2.5. Shortcomings, limitations and gaps

The literature review depended on research publications by scholars in the field of public management and policy implementation in general. To be able to give a holistic picture of the evolution of both fields the research depended on older sources. Most of the more current articles refer to the older sources as well.

The case study analysis was dependent on the availability of government data on the National Development Plan. The accuracy of the data was, however, not verified. The possibility of a margin of error was accepted but reflected as a disclaimer in the analysis.

The assessment of specific public administration practices in the South African government, such as programme structures, organisational structures and governance for the implementation of the NDP is beyond the objectives of this research. Further research is, however, required to determine the full capacity of government.

2.6. Summary

The aim of the research is to explore the reasons why the South African government struggles to implement policies. Such exploration requires policy implementation evaluation. To be able to determine progress and identify reasons for not making progress with the implementation of policy requires structured guidelines for analysis.

The development of a model for policy implementation required exploratory research to gain preliminary insight into the mechanisms available for policy implementation as well as an understanding of the existing models that simplify the factors influencing policy implementation.

The collection and exploration of literature focused on the objectives of the research. The literature included a collection of research publications, books, presentations and other documents. The focus was furthermore on text rather than numbers. The literature identified public sector management systems and processes including performance-based budgeting and factors influencing policy implementation as the two main concepts underpinning the study. Observations made over time and conversations with officials in the policy implementation field highlighted tensions and challenges in the policy implementation field. These challenges provided an opportunity for further exploration and analysis of government practices. The collection and evaluation of government publications were necessary to be able to compare theory with practice.

A thematic approach was taken for reflecting upon and interpreting the information according to the objectives of the research. The research started with an analysis of information to be able to identify mechanisms for policy implementation. The second part of the literature reviewed reflected the outcomes of previous research on policy implementation and how the views of scholars changed over time. Interpretation of the data from the literature reviewed assisted with the development of a model for effective policy implementation analysis. The proposed policy implementation analysis model has been tested by applying it to a current policy being implemented in the South African government.

CHAPTER 3: PUBLIC SECTOR REFORMS AND MECHANISMS FOR SUCCESSFUL POLICY IMPLEMENTATION

3.1. Introduction

The objective of chapter 3 is to establish the key public sector reforms and mechanisms that contribute to effective policy implementation.

Najam (1995:33), however, cautions against an assumption that policy implementation can be viewed against the background of a stagnant set of conditions. This assumption misinterprets the reality of the policy implementation process. Policy implementation operates at multiple levels and is influenced by multiple actors simultaneously. The handover of policy from one level to another is a complex and dynamic process. The process is also not unidirectional. Policy does not exist in a tangible sense until implementers have shaped it and claimed it as their own.

According to Osborne (2006:378, 380), policy implementation is one of the key elements of public administration. The strength of public administration is in its consideration of the political nature of public administration management and of the complexities of the public policymaking and implementation processes. Policy implementation studies in public administration literature, however, have not been able to unpack the different factors impacting upon public policy implementation. There is a tendency to believe that there is an unwillingness to unpack the complex management processes for policy implementation in the public sector. Despite the ability of new public management (NPM), introduced since the early 1990s to address the complexities of policy implementation, it only views the public policy process as a framework within which the task of public management takes place. Given the potential and limitations of public administration and NPM, the need arises for a more holistic theory of public administration management.

Chapter 3 explores the elements of public administration and the evolution of public administration over time, which is a global phenomenon, to ensure the efficiency and effectiveness in delivering public services. The chapter further describes the basic principles of the reforms and the selective reforms adopted by countries. Over time the focus of reforms shifted to the introduction of more holistic performance management systems. Different performance management systems and administrative processes, including the elements of performance management systems are described. The chapter explores the influence of public sector reforms on service delivery/policy implementation and the lessons learnt for further reforms. The chapter ends with a summary of the reforms implemented in South Africa.

3.2. Public administration

According to Minnaar (2010:3), public administration comprises the integration of a political process for policy formulation and a management process in terms of how policy must be implemented. Governance is regarded as a third component, which is the combined function of government and management. These functions are delivered within a specific environmental context, which also refers to changing aspects that affect government policies and organisational aims. In addition to the administrative function of government outlined by Minnaar (2010:3), Howlett (2004:1) is concerned about the complexity of making the right choice of mechanisms to obtain political goals. In addition to Howlett's concern (2004:1), Greene (2005:8, 24) mentions the effect of the political culture in a country on public administration. Politics are simply about who gets what, when and how. It further involves the struggle for control of public institutions and the use and allocation of scarce resources and the struggle over which public policies should be implemented.

Lynn Jr. (2007:28) regards public management as being synonymous with public administration. Public management is viewed as a collective of organisational structures, managerial practices and institutionalised rules by which officials implement the will of the authority. In addition to the view of Lynn (2007:28), Osborne (2006:378) outlines the key elements of public administration as:

- The supremacy of the rule of law
- The managing of a set of guidelines
- A significant role in policymaking and implementation
- The political and administrative split within public organisations
- An obligation for incremental budgeting
- The authority of professionals in the service delivery system

In support of the above, White (2012:51-52) defines public administration as the management of employees, and goods and services in the achievement of the purpose of the state. Public administration must ensure the most efficient use of employees and resources. Administrative activities must, therefore, be executed in an efficient and economical way to achieve public programmes. Schick (1966: 244) and in Shafritz and Hyde (2012:197-198) defines the individual administrative processes of strategic planning, management and operational control as follows:

- Strategic planning involves the choice of objectives or changes to objectives for an institution, the resources required to achieve the objectives and the legal framework that governs the use of the resources.

- Management control is the management process that assures the acquisition of resources and the effective and efficient use of the resources.
- Operational control is the process of managing the effective and efficient carrying out of specific activities and production of outputs.

All budget systems comprise planning, management and control processes.

3.2.1. Public administration reforms

Economic and political developments, and inefficiencies in public administration and state institutions are only some of the reasons that necessitated the introduction of public sector reforms. Colgan, Rochford and Burke (2016:1) describe public sector reform as a deliberate change to the structures and processes of public sector institutions and/or services. The objective of the change should be to get institutions to run better. They further argue that the simplified theoretical proposals of public administration reforms disguise the true complexity of the reform process. Public administration reforms, as described in the literature, do not necessarily provide insight into the dynamics of reform processes in practice. In addition to Colgan, Rochford and Burke (2016:1), Larbi (1999:4) points out that, in addition to administrative reforms, private sector management techniques and practices are also encouraged to deal with the efficiency and effectiveness challenges of the old public sector administration.

Studies by Meier (2003:3) outline the evolution of the public sector over the past 40 years. The evolution ranges from planning, programming and budgeting system approaches with the emphasis on financial planning and cost accounting in the 1960s to a more programme-management-by-activity approach in the 1970s and 1980s. Carstens and Thornhill (2000:178, 184, 190) establish that administrative reforms since the 1980s have had two focus areas. The one is an explicit demand for results in terms of efficiency and effectiveness and quality services. The other is the replacement of highly centralised hierarchical structures with decentralised management structures. These reform interventions carried out since the 1980s actually became known as the new public management (NPM). They also describe the interrelationship between administration reform interventions and NPM as actions implemented by senior public officials to achieve the goals and objectives set by politicians. In addition to Carstens and Thornhill (2000:184, 190), Lynn Jr. (2007:44) views NPM as a term that became a banner for the globalisation of public management that referred to the management and customer-oriented, performance-driven allocation of resources. Meier (2003:4) supports the view of Lynn Jr. (2007:44) that NPM led to efforts by governments to become client- and service-oriented in the 1980s. New methods and techniques focused on service delivery processes, quality standards and the acceptance of goals for continuous

improvement. New interest in measuring the efficiency and effectiveness of public service delivery through the monitoring of performance indicators arose. Managing for results gradually became an important public sector management theme during the 1990s. The use of Results-Based Management (RBM) or Performance-Based Management (PBM) became the means of promoting good governance and results-oriented public sector management.

Minnaar (2010:4) outlines some of the reforms introduced by countries such as the United States of America, Australia and New Zealand, which include the introduction of:

- Strategic planning methodologies and processes, in which strategic plans are developed on the needs of citizens
- Priority-setting processes linked to the strategic plans
- The reflection of costs of strategies in a comprehensive performance budgeting format
- Performance management systems based on the strategic plan
- Medium-term planning and budgeting systems
- Generally, recognised accounting practices, which is a set of concepts that function as guidelines for the accounting processes
- Renewed emphasis on accountability in government's control and reporting systems

In addition to Minnaar (2010:4), Rubin and Kelly (2007:563-564) identify reforms such as the moving from simple line-item budgeting to performance budgeting, performance contracts, more entrepreneurial management, contracting with the private sector, output and outcome measurement, accounting changes, and fiscal decentralisation, which had an impact on the rules and processes of budget formulation, authorisation, implementation and reporting. These reforms also affect public expenditure management broadly, including the way in which public services are delivered. In addition to Minnaar (2010:4) and Rubin and Kelly (2007:563-564), Larbi (1999:1) points out that new management practises involving business-type mechanisms related with the private sector were being used. Business-type mechanisms brought about change in the management of public services in countries that have varying governance, economic and institutional environments. These practices and techniques have conventionally also been labelled within the domain of NPM.

3.2.1.1. New Public Management

Larbi (1999:1) believes that, although the components of NPM have changed over the years, the central feature of NPM is an attempt to introduce performance incentives and the discipline that exist in a business environment. The perception is that the exposure of public sector activities to market pressures and in using markets to serve public purposes would have benefits, in terms of efficiency and effectiveness, for service delivery

Hood (1991:4-5) describes the basic principles of NPM as follows:

- “Management: active, visible discretionary control of organisations from named persons at the top, being free to manage;
- Performance standards: definition of goals, targets, indicators of success, preferably expressed in quantitative terms, especially for professional services;
- Output control: resource allocation and rewards-linked measured performance; breakup of centralised bureaucracy-wide personnel management;
- Decentralisation: breakup of formerly 'monolithic' units; unbundling of u-form management systems into corporate units around products, operating on decentralised 'one-line' budgets and dealing with one another on an 'arm's-length' basis;
- Competition: move to term contracts and public tendering procedures;
- Private sector management style: move away from military-style 'public service ethics', greater flexibility in hiring and rewards, and greater use of public relations techniques; and
- Cost reduction: cutting direct costs, raising labour discipline, resisting union demands and limiting compliance costs to business”.

Similar to the basic principles described by Hood (1991), Colgan, Rochford and Burke (2016:5) define NPM as a management culture that emphasises the importance of the citizen – or customer – as well as the responsibility for performance. New Public Management also proposes structural or institutional choices that promote decentralised control through a wide variety of alternative service delivery mechanisms, including quasi-markets and private service providers competing for resources from policymakers and donors. According to DeGroff and Cargo (2009:54-55), NPM advocates, in part, outcome-based performance where performance is measured through outcomes rather than outputs. Outcome-based performance is emphasised in NPM as a means to assess management and policy effectiveness, as well as a means of accountability. In addition to DeGroff and Cargo (2009:54-55), Klijn (2010:304) adds that NPM is a means of improving performance and accountability. Government further sets goals for public or private agencies to implement through clear performance indicators and targets. This mechanism should secure service delivery and policy outputs. Peters (2014:132) emphasises the interaction of public and private organisations in the process of implementation. This process of interaction between public and private actors for policy implementation is further strengthened by the NPM and governance approaches to public administration.

According to Naidoo (2015:32), performance monitoring is one of the aspects of NPM reforms introduced in South Africa to strengthen effectiveness and accountability. Kusek and Rist (2004:1) is of the view that a results-based monitoring and evaluation system is a powerful

public management tool to track progress on projects, programmes or policy implementation, which also focuses on impact. Despite the implementation of a performance monitoring initiative by the South African government, Naidoo (2015:32) claims that the effectiveness of government showed a general downward trend between 1996 and 2012. This downward trend could be attributed, as Larbi (1999:35) suggests, to the potential limitations to applying the elements of NPM. According to Larbi (1999:17), there are blurred lines between policymaking and service provisioning in the NPM system. Larbi's (1999:23, 25-27) concern is, in general, that the executive is hired on contract under a pay-for-performance system, which might not focus on citizens' needs. In addition to Larbi (1999:35), Van de Walle and Van Dooren (2008:1) are of the view that the cynicism about NPM has been shown in performance measurement.

Rubin and Kelly (2007:564) caution that not all reforms should be associated with NPM. Elements of performance management, for example, in performance budgeting build on earlier budget reforms. Performance budgeting could also be adopted by countries without adopting any of the managerial ideology or public choice thinking that accompanies NPM. Critique on the efficacy of NPM reforms leads to new approaches to public management.

3.2.1.2. New public governance and services

Karkatsoulis (2010:469-470) argues that a new public management system must focus on a whole-of-government approach. In support of Karkatsoulis (2010:469-470) Robinson (2015:9-11) suggests that new approaches pursued should address challenges with logic and partnerships through whole-of-government approaches. These new approaches should further place citizens at the centre of reforms. A number of theorists have developed fresh conceptualisations of public management that advance from earlier approaches. These approaches include new public governance and new public services models. These models incorporate a number of features such as public service delivery by multiple inter-dependent actors, and multiple processes and inputs that shape policymaking. Robinson (2015:9) emphasises the fact that the public sector is no longer expected to be the only force determining public policy and implementation. Government is treated as just one player alongside others engaged in policy deliberation and service delivery. The new public governance model emphasises inter-organisational relationships and the governance of processes, in which trust, relational capital and relational contracts serve as the core governance mechanisms, rather than organisational form and function. The new public service model is premised on active and involved citizenship.

Governments have to be open, accessible, accountable, responsive, and functional to serve citizens, if they want to address wider societal needs and develop solutions that are consistent

with the public interest. Accountability needs to extend beyond the formal accountability of public servants to elected officials in management. The allocation of budgets and development of programmes must accommodate a wider set of accountability relationships with citizens.

Initiatives of new public management and service models have, however, tended to complement NPM reforms. The development of delivery plans through participative processes, as a means of realising the benefits of a more participative approach to policy implementation, has gained traction in various parts of the world. In addition to the participative process, delivery plans are required to adhere to criteria such as setting clear goals, continuous reporting, monitoring and evaluation.

In response to new public management initiatives, Gao (2015:86-87) argues that performance-oriented reforms exploded around the globe since the mid-1990s. These reforms have slogans such as 'managing-for-results', 'management by measurement' and 'value for money'. Regardless of the different focuses of the reforms, performance-based measurement has searched for effective ways to make government work better and more cost effectively. Apart from the role of performance measurement in government effectiveness, the focus of reforms shifted to performance management as a whole.

3.2.1.3. Performance-based management

In support of Gao (2015:86), Heinrich (2002:712) identifies that despite the slogans for performance-based management, instruments, strategies, processes and systems for planning, budgeting and programming, the central purpose of these initiatives is to improve public management and programme outcomes. In addition to Heinrich (2002:712), Meier (2003:4) views performance-based management as a management approach and a set of mechanisms aimed at achieving important changes in the way organisations operate. It provides instruments for strategic planning, budgeting, monitoring and evaluation, reporting and organisational improvement, with the main focus being on results. Coupal (2011:2), in support of Meier's (2003:4) view, describes result-based management (RBM) as a management strategy by which all contributors ensure that their processes, outputs and services contribute to the anticipated results. Information and evidence on actual results inform decisions on the design and funding of programmes as well as being used for accountability and reporting.

According to Wholey (1999:288-292), performance may focus on inputs and activities that convert inputs to outputs and then outcomes. Performance may also focus on efficiency, which relates outputs back to inputs. Wholey (1999:288-292) further argues that performance-based management offers a solution for the purposeful use of resources and information to achieve

and demonstrate progress towards programme goals. Managers could also use performance information to manage their programmes, account to stakeholders, demonstrate effectiveness and to support resource allocation and policy decisions. The prerequisites for performance-based management are agreed-on goals and strategies and performance measurement systems of sufficient quality.

The Organisation for Economic Co-operation and Development (OECD) (2005:vi-vii) defines performance management as a system, integrated with corporate management, of performance information, performance monitoring and evaluation, assessment and performance reporting. This system allows governments to improve the link between policymaking and planning and budgeting of social, economic and political objectives. The system also allows for linking policymaking with expenditure implementation and results achievement. Performance management has the potential to engage all stakeholders in pursuit of budgetary and financial management reforms. The OECD (2005:5-6) identifies the most important and necessary building blocks to be considered in performance management reforms, as shown in diagram 3.1.

Diagram 3.1: Performance management building blocks in the budget cycle



Source: OECD (2005:5-6)

3.2.1.3.1. Performance planning

According to Coupal (2011:10, 15, 24, 28), institutions often use performance-based management (PBM) when planning strategic frameworks, programmes and projects. A results

chain should, however, clearly demonstrate the change to be achieved through the cause-and-effect relationship between inputs, activities and the outputs, outcomes and impact. If it is not possible to show a clear link between the elements of the results chain, they are not relevant for a results framework. The inputs and outputs are elements of programme performance, while outcomes and impact are elements of higher-level national plans. Results-based management not only requires the development of a framework, it also involves regular reporting, monitoring and evaluation and management that ensures updating of frameworks once a year.

Wholey (1999:293-294) explains that the planning process followed, for example, in the United States of America is legislated. The Act requires institutions to develop five-year strategic plans that contain mission statements covering the major functions and operations of the institutions. The strategic plans also identify strategic goals and objectives, including outcome-oriented goals and objectives for the key functions and operations of institutions. The strategic plans further describe the resources and processes required to meet the goals and objectives and the external factors that could affect the achievement of those goals and objectives. Annual performance plans are submitted annually with the budgets of institutions. Annual performance plans link the strategic goals and objectives in the strategic plan with programme performance information. Programme performance information includes the formation of programme performance indicators and targets to be used in measuring the relevant outputs, service delivery and outcomes of each programme.

3.2.1.3.2. Performance evaluation

Kusek and Rist (2004:2) argue that governments are under pressure to demonstrate results. In addition, the building of a sustainable results-based monitoring and evaluation system requires commitment, time, effort and resources. [Programme performance indicators and targets used in measuring relevant outputs, service levels and outcomes of each programme activity are, however, insufficient to establish the effectiveness and efficiency of government programmes]. Kusek and Rist (2004:23) acknowledge the different models proposed by experts to implement a results-based monitoring and evaluation system. According to them, designers of monitoring and evaluation systems often miss the complexities and restraints in a country, government or sector context. Kusek and Rist (2004:23-25) propose a 10-step model to sustain a results-based monitoring and evaluation system. This system includes:

- A readiness assessment before the establishment of the system
- Formulation of outcomes
- Selecting key performance indicators

- Determine baselines for performance indicators
- Select targets for improvement
- Monitor
- Evaluate
- Report findings
- Use findings
- Sustain the system

Robinson (2014:11-12, 14-15) believes that only through careful evaluation of a programme's processes could an assessment of efficiency and effectiveness be made. An evaluation is the process of determining the worth or significance of an activity, policy, or programme. The main categories of evaluations are:

- Outcome evaluations
- Process evaluations
- Ex ante evaluations
- Programme logic evaluations

Outcome evaluations determine the degree to which a programme's intended outcomes have been achieved. Process evaluations focus on the improvement of performance. The primary focus of process evaluations is to identify any change in policy design or management that would improve the effectiveness of programmes and address efficiency matters. Ex ante evaluations are carried out before the programme has actually been implemented. Programme logic evaluation assess the manner in which a particular programme is planned to achieve its intended outcome, through the causal links by which programme outputs are expected to generate programme outcomes.

Van de Walle and Van Dooren (2008:1, 3-4) is concerned about the use of performance measurement. The use of performance information is multi-faceted and the purpose ranges from, amongst others, evaluation, improving, controlling, learning and budgeting. [Evaluation has an important role to play in government-wide performance budgeting. Good performance information is, however, critical for good performance budgeting].

3.2.1.3.3. Performance budgeting

According to Schick (1966:243-244) initial budget reforms were initiated to find a system to plan the objectives and activities of government. In addition, such budgeting system was required to provide reliable data on the accomplishments of public funds. The development of a planning-programming-budgeting (PPB) system was the result of a half a century of tradition

and evolution. Karkatsoulis (2010:451), in support of Schick (1966:244), explains that during the initial managerial stages of budgeting, the primary emphasis was on the central control of spending. The budget was further used to guard from administrative abuses. During the matured managerial era the main objective of budgeting was to manage the efficient performance of work and prescribed activities. Performance budgeting or performance-based budgeting (PBB) was officially introduced by the Hoover Commission in 1993. The aim was to improve the accomplishment of the objective of budgeting through the implementation of a set of techniques, replacing the simple balance sheet debit–credit accounts. The aim was further to reflect the financing of a sum of single outputs contributing to policy goals or outcomes. According to the OECD (2005:vi), performance budgeting is an instrument implemented by central governments for decision-making. It is an instrument to ensure the efficient (input–output) and effective (output–outcome) use of resources in achieving government goals, objectives and outcomes (linking budgets with plans). In addition to Karkatsoulis (2010:451), Rubin and Kelly (2007:564) view the change in the basis of budgetary control from detailed line items to measurable goals for outputs and outcomes as a dramatic reform. In support of Rubin and Kelly (2007:564), Andrews (2003:2.4) also identifies PBB as a key public sector reform. This budgeting system suggests a change from an input- and output-oriented budgeting system to an output and outcome orientation. These changes are designed to alter how budgets are developed. The system defines roles in the budgetary process and what impact the budget allocations would have on people receiving funds or services. The reforms are argued to focus public officials on results and performance, with results-oriented accountability. This accountability argument for performance measurement is powerful and convincing to track the services rendered through the use of public funds.

Rubin and Kelly (2007:564) further explain that the change in budgetary control involves the introduction of outputs and outcomes for a given budget appropriation. Programme managers are held accountable for delivering on the outputs and outcomes. The goals of government programmes should, however, be clearly described; performance indicators have to be developed and monitored. These reforms intend to give programme managers the responsibility to use public resources in a way that ensures efficiency and effectiveness in policy implementation. In support of Rubin and Kelly (2007:564), Diamond (2001:3) argues that PBB involves a more direct link between allocating resources through the budget and performance in reaching stated objectives.

Chowdhary (2006:2516) explains that performance budgeting is a pre-expenditure instrument to realise government's vision through clearly defined outcomes. Clearly defined outcomes also lend greater transparency to the budgetary process. Performance budgeting provides more detailed information about progress towards meeting the executive's spending priorities.

The direct relationships of inputs to outputs through activities is assessed to further establish whether the spending of a specific quantum of inputs is worth the outputs directly resulting from it. Performance budgeting, therefore, takes into account the mutual relationship between the flow of financial resources and the physical targets. It thus represents a fruitful blending of three techniques, namely, management by objectives (MBO), financial and cost control, and physical performance control. Organisational structures and management orientation also become important in implementing a performance-based budgeting system.

Karkatsoulis (2010:452), however, cautions that the lack of good management and the misalignment between goals and the means to achieve them are two of the reasons for the difficulty in connecting policy and implementation. The absence of concrete goals for each public organisation also obstructs the success of PBB, especially when it comes to economic and financial turbulences.

The concept of governance marks the next phase. Governance took budgeting ahead but still remained a loose frame with little operational solutions. A governance-based approach to budgeting relies heavily on credible indicators measuring and evaluating its efficiency with regard to certain policy areas. Karkatsoulis (2010:453) argues that, going forward, the emphasis should be on the relationship between policy goals and budgets.

According to Hawkesworth and Klepsvik (2013:119-120), a wide variety of performance budgeting practices are implemented globally. Countries share a common focus on demonstrating the extent to which expenditure achieves policy outcomes. These challenges require countries to tailor their performance budgeting system to fit their particular circumstances. Similar to Hawkesworth and Klepsvik (2013:119-120), Robinson and Brumby (2005:7-10) find that different performance budgeting systems attempt to link performance information to funding in different ways. The different systems certainly also deliver a varying degree of effectiveness. The classification of expenditure into programmes with common objectives to facilitate prioritisation is an element of many existing performance budgeting systems.

The OECD (2005:2-5) identifies the most important and necessary building blocks to be considered in designing budget reforms to achieve the intended accomplishments of performance budgeting. Diagram 3.2 shows the performance budgeting building blocks in the budget cycle.

Diagram 3.2: Performance budgeting building blocks in the budget cycle



Source: OECD (2005:3-4)

The OECD (2005:17) also finds that countries have followed diverse approaches in performance budgeting and management reforms based on planning, programming and budgeting. In some countries the focus has been on a programme-based national budget; others focused more on reforms in service delivery functions, policies and organisations. Independently of the approach followed by different countries, the objectives pursued are very similar. The main objectives of reforms are to improve transparency, accountability, reliability, and assurance. Countries also wish to improve resource allocation, increase financial discipline, improve the alignment between policy, planning and budget implementation by improving planning processes, increase total expenditure control, achieve greater efficiency and effectiveness on budget management; and implement results by making better decisions. Reforms introduced by developing countries include:

- The improvement of the interface between the budgeting process and the overall national development efforts through better allocation of resources.
- The improvement of a policy focus and prioritisation in resource allocation.
- Assistance for policymakers on all levels to make better-informed decisions.

In line with the performance budgeting building blocks identified by the OECD, Zeng (2007:72-73) summarises the main steps taken in performance budget practices in various countries. Their working routines are divided into the following steps:

- The development of a medium- to long-term departmental strategic plan that conforms with the development outcomes of the country's medium- or long-term plans.
- The development of departmental annual performance plans (three-years) based on the departmental strategic plan, including goals, objectives and performance indicators.
- The development of an annual budget according to the annual performance plan.
- Approval of the budget and plans.
- Budget and plan implementation, reporting and monitoring.
- Annual audit.

In an attempt to demonstrate the link between budgets and plans, McGill (2001:380) defines PBB as the process to generate outputs and as a method to request funding derived from the requirements of strategic plans. The key to PBB is the impact of an organisation's outputs. Generally, the unit of analysis is a programme consisting of a range of outputs that contribute to achieving the goals and objectives of the programme.

Grizzle and Pettijohn (2002:51) view programme performance budgeting (a form of performance budgeting) as a budget reform in the right direction. Programme performance budgeting (PPB) allows for government spending to be classified by programme. Programmes must, however, have a purpose and objectives. Programme inputs, outputs, and outcome measures must be linked to the purpose and to appropriated budgets. Programmes further commit to achieving a specified level of performance for each output and outcome in exchange for a specified level of funding.

According to Robinson and Last (2009:6), PPB requires the development of key performance information and costs per programme. These requirements include:

- "Programme objectives and how they link to national and sectoral priorities;
- The key service outputs delivered by the programme;
- How the programme is intended to achieve the objectives;
- Key programme performance indicators and evaluation results per programme; and
- Programme costs".

Programme performance budgeting also requires the legal appropriation of funds in the budget on a programme level. According to Karkatsoulis (2010:465), PPB assists in making the budget a strategic policy document. Schick (2012:198-199) argues that one of the major aims of PPB is to reform the annual routine of preparing the budget. PPB includes conscious appraisal and the formulations of future goals and policies. As previously mentioned, every budget system comprises planning, management and control processes. Planning, in the context of budgeting, involves the determination of objectives, the evaluation of other options

for action, and the selection of programmes. Management involves the programming of approved goals into projects and activities, and the design of organisational units to implement the programmes and to acquire the necessary resources. In other words, management provides the link between goals and activities undertaken. Control refers to the process of binding operating officials to policies and plans, set by their superiors, during the operation and audit stages of the process. Similar to previous descriptions, the Service Employees International Union (SEIU) Local 1000 report (2010:3) describes PPB as a system that bases programme and agency funding on results or outcomes. The SEIU Local 1000 report further links outcomes with performance towards key programme objectives that support the overall mission of an organisation. Programme performance indicators are required to make an organisation's objectives and goals measurable. Performance-based budgeting further makes agencies more accountable by mandating the tracking and reporting on expenditure and performance on programmes to meet the objectives and goals of an agency. This system, if implemented correctly, can be a useful tool for government. It encourages workers, managers and directors to focus on implementing policies and plans for improving public service delivery.

According to Robinson (2013:1), programme budgeting is the most widespread form of performance budgeting. This form of budgeting is also the most applicable to government budgets. The main characteristic of programme budgeting is the programme classification, which also classifies expenditure according to public policy objectives and legislative mandates.

3.2.2. Lessons learnt from public sector reforms

According to Robinson (2015:5), for much of the 20th century the central approach to public sector administration drew on models of bureaucracy based on the twin principles of hierarchy and meritocracy. This approach relied on centralised control, set rules and guidelines, separated policymaking from implementation, and employed a hierarchical organisational structure. The slogans were responsiveness, efficiency and effectiveness in the management of financial and human resources.

The objective of public sector reforms was to address inefficiencies in organisations and to improve service delivery. Earlier reforms included structural changes and process changes, ranging from downsizing of the public sector to salary and employment reforms. Robinson (2015:7) finds that there is limited evidence of the implementation of civil service reforms in developing countries. Ratings by the World Bank's Independent Evaluation Group of public sector service reform projects completed between 1987 and 1988 found that 38 per cent of such projects were unsatisfactory, more than the 30 per cent average for the World Bank's

overall portfolio. The New Public Management (NPM) model arose in reaction to the limitations of the old public administration in adjusting to the demands of a competitive market economy.

Since the 1980s NPM has been the term used to define reforms in the public sector. According to Ferlie (2017:3, 11-12), the core features of New Public Management include:

- “Hands on professional management;
- Explicit standards and measures of performance;
- Greater stress on output-based controls (since results now matter more than process);
- A disaggregation of units in the public sector;
- More competition within the public sector itself;
- More private-sector-style management practice (including ‘flexible’ human resource management); and
- The pursuit of efficiency and doing more with less”.

Behind these features lay societal values emphasising efficiency and productivity. New Public Management reforms also seek to put pressure on public agencies to improve performance and give a greater voice to consumers/customers of public services. New Public Management reforms are often seen as a policy instrument that can promote good governance and increased transparency in developing countries. In addition to Ferlie’s (2017:3, 11-12) view on the core features of NPM, Robinson (2015:9) states that a key ingredient in successful NPM reforms in OECD countries included consistent political leadership in policy direction and implementation and buy-in from top officials and central departments.

According to Ferlie (2017:3, 11-12), a major criticism is that the values of NPM favour efficiency over democracy. It is further argued that policy disasters (or large-scale, avoidable, policy mistakes) increasingly emerge due to the moving of policymaking capacity traditionally provided by central civil servants to operational management or delivery.

Cameron (2009:912-913) states that another major criticism of NPM is the introduction of business models that present privatised individual values instead of applying public ideas. There is little evidence that NPM strengthens the quality and integrity of the public service. Further suggestions are that business values such as efficiency, competition, profit and value for money replaced the traditional public administration values such as impartiality, equality, representation, integrity, fairness, welfare, citizenship and justice. Robinson (2015:9), in support of Cameron (2009:912-913), criticises NPM “for a singular emphasis on private sector management principles, the weakening of democratic accountability with the creation of executive agencies, and for the failure to focus on responsiveness as the primary focus for public sector reform efforts”. There are also concerns that NPM had reduced coherence

across government as a result of the fragmentation of policy and delivery across multiple agencies and service providers.

According to Robinson (2015:14), many countries adopted a mixed approach that includes elements of different models of public administration. The new public governance and service approaches concentrate on inter-organisational relationships and public engagement, which offer a useful solution to the problems of earlier models of public management. These approaches are, however, very new and they do not yet offer a comprehensive approach to the challenges of public service efficiency and effectiveness, especially in developing countries. Placing citizens at the centre of public sector reform efforts and focusing on the efficiency and effectiveness of the public sector have important implications for the format and sustainability of public sector reforms. In seeking to address wider societal needs, an initiative that gained traction in various parts of the world is the development of delivery plans through participative processes. These delivery plans include the setting of clear goals and continuous performance monitoring. Performance monitoring has searched for effective ways to make government responsive, efficient and effective. Despite the role of performance monitoring, the focus of reforms shifted to performance management as a whole. Performance management is a management approach aimed at achieving important changes in the way organisations operate. It provides instruments for planning, budgeting, monitoring and evaluation, reporting and organisational improvement, with the main focus on service delivery.

Andrews (2003:2.14) finds three main areas in reforms that affect the achievement of a true performance-based accountability system. These areas include:

- The link between performance and allocations
- The establishment of an effective basis for results identification through the development of relevant performance indicators; and
- Clear identification of the responsible person for performance and resource use.

The OECD (2005:11-13) identifies limited efficiency and effectiveness in low-income developing countries due to the centralised implementation of budget reforms. Other common challenges in low-income developing countries are the lack of public financial and performance information and public participation. Another common characteristic is the low accountability and transparency culture, including the absence of performance evaluation and an independent performance auditing system. Some of the middle- and high-income developing countries have achieved important results. These results are, however, partial and require further reforms, including clearer communication of objectives and targets to be met and the obligation to report results. Some countries, including South Africa, have to improve on the

use of performance and results. These improvements include systematic results evaluation and lessons learnt as part of a management for results process.

Engela and Ajam (2010:16) are of the view that public sector monitoring and results evaluation reforms are hardly ever considered and implemented separately from other broader public sector reforms. While there is a significant body of literature on performance budgeting and intergovernmental relations these thematic areas are rarely treated together in the literature.

A precondition for starting a results-based monitoring and evaluation system appears to be an explicit and sustained political commitment, from officials at the highest levels, to a performance-based ethos in the public sector.

In 1996, for example the government in Australia, started a process of downsizing the civil service and a reduced role for the Department of Finance. This process resulted in the performance evaluation strategy being abandoned for a decade. In cases where the monitoring and evaluation system is driven by a central institution, a reduced role or power could threaten the significance and utilisation of the system. In South Africa, the leadership for the government-wide monitoring and evaluation is shared by the President's Office, the National Treasury, and Statistics South Africa, with support from other agencies. This joint leadership should help mitigate the sustainability risk.

Gao (2015:94) suggests that performance improvement requires more than the implementation of a performance measurement system. More work is required in the field to be able to improve performance. Despite conflicting results, one thing is clear: national, cultural and organisational differences determine the purpose, function, design and effectiveness of each performance measurement and management system. Each country and organisation has its own formula, expectations, pace of change, strengths and weaknesses for improving performance outcomes. Context always matters. Building on the findings of Gao (2015:94), Heinrich (2002:714) believes that an effective performance management system, as a policy tool for increasing public sector performance, depends on the design and management of the system.

Hawkeswoth and Klepsvik (2013:119) focus on challenges, specifically when implementing performance budgeting as part of the performance management system. Firstly, the objectives and indicators must be comprehensive, reliable and measureable. Secondly, implementation requires political buy-in and willingness to change. Thirdly, not all performance indicators are useful to interested parties. Lastly, successful PBB implies sustained cross-ministerial co-operation. Although different countries face similar challenges, they also share the need to demonstrate the extent to which spending achieves policy outcomes. The challenges identified by Hawkeswoth and Klepsvik (2013:119) are aligned with the importance of factors

such as context, design and management of a performance management system as identified by Gao (2015:94) and Heinrich (2002:714) for service delivery.

In addition to Hawkeswoth and Klepsvik (2013:119), Robinson and Brumby (2005:12) contend that “performance budgeting reformers believe that expenditure allocation in the public sector tends to be insufficiently responsive to social needs and priorities”. Prioritisation and responsiveness should, therefore, be an objective of any performance budgeting system. Robinson and Last (2009:5) find that in cases where budget decision-makers do not take the identified priorities in national plans seriously, it might lead to possible conflict between planning and budgeting objectives. Such conflict could result in weakening government policy priorities. Robinson and Brumby (2005:12) argue that funds can keep flowing to ineffective programmes due to a lack of accountability for results linked to the budget process. Once funds are allocated to a programme, there is no requirement to review whether the results obtained are solving the problems that citizens care about. This phenomenon becomes a challenge when government priorities change, or when new public policy requirements emerge.

Diamond (2003:14-15) takes the argument by Robinson and Brumby (2005:12) on programmes and programme performance budgeting further and argues that emerging market economies are required to design/redesign their programme structures to allow for new performance budgeting approaches. The development of programmes needs to be placed in the context of a wider strategic plan for government operations to strengthen the link between policy, planning and budgeting. Programme structures should ensure a clear policy statement, or list of objectives, that adequately defines the purposes of the programmes and the results expected. A reflection of these concepts per programme will ensure proper monitoring and evaluation. The programme structure of government should be seen as the means whereby the budget should be linked to strategic objectives. The question that still arises is how programmes should be best designed to meet these objectives. Several routes can be followed; however, the route taken by the United States of America is to make the programme structure agency specific, take a spending agency (for example, a ministry), and design the programme only within that ministry's activities. Some countries have selected broad policy areas, identifying the programmes on this basis, so that individual institutions could end up contributing to only part of a programme. In the first approach, however, the logic of the policy basis of programmes is constrained by the prevailing organisational structure of government. The second approach, while purely from a policy viewpoint, depends on having adequate classification and accounting capability to capture all inputs associated with programmes, regardless of where they arise. Robinson and Last (2009:5), however, find that many countries struggle to reflect priorities in the allocation of resources to programmes in the annual budget.

Some of these countries view performance-based budgeting as the solution to this problem. Their belief is that improved planning and performance information will lead to more respect for a plan during the budgeting process. When budget decision-makers take priorities identified in the strategic plans seriously, it normally results in the alignment of planning and budgeting. In addition to Robinson and Last (2009:5), Hawkeswoth and Klepsvik (2013:119) argue that, given the cross-government nature of some policy outcomes, successful PBB also implies substantial, sustained cross-ministerial co-operation.

The OECD (2005:13) identifies that some of the achievements through budget reforms in middle- and high-income developing countries show improved integration of budgeting with planning and management, evident in a greater policy focus and prioritisation in resource allocation, programme planning and management. Improvements made in relation to performance management are due to strong political support and desire for accountability. These countries have also managed to have a good integrated financial management system in place to support performance management.

Gao (2015:93-94) finds that research on whether the implementation of performance management reforms lead to better outcomes, especially in developing countries, is not always available. Available evidence, however, suggests mixed results. Some reforms have led to performance improvement, whereas others have largely failed. Karkatsoulis (2010:459) agrees with Gao (2015:93-94) that many cases need to be studied in order to identify failures and successes to improve public management systems.

Gao (2015:93-94) believes that, despite the fact that strategies and tools have been developed to measure performance, major challenges in the implementation of performance management systems remain. These challenges are found to be an international phenomenon, in which political, economic and cultural factors may influence implementation. In addition to the political, cultural and economic identity of a country, Karkatsoulis (2010:468) argues that the challenges with the implementation of performance management systems are lack of interaction between the principles and methodologies of performance management implementation.

According to Andrews (2003:2.14) and Hawkeswoth and Klepsvik (2013:116), performance-based budgeting is still a work in progress. A challenge for PBB is the demand for the collection of high-level outcome data aligned to inputs, activities and outputs and reporting on them to various actors and oversight bodies. In support of challenges identified by Andrews (2003:2.14), Robinson (2014:3) argues that PBB places significant pressure on ministries to be accountable and to improve the effectiveness and efficiency of services. In addition to Robinson (2014:3), Andrews (2013:113-115) is of the view that institutional reforms that are

externally influenced are usually encouraged by isomorphic pressure. This means that externally dependent countries are pressurised to adopt best practice reforms (identified by outsiders) to be more appropriate and externally legitimate. He further notes that, although, reforms have improved the manner in which governments budget, it has not improved budget execution. Countries manage the influence of external pressures by limiting change to what is needed for legitimacy. Developing countries have to do much thinking about the expectable limits where reforms have been imposed. Andrews (2013:115, 117) introduces the concept of decoupling to facilitate a better understanding of reforms and its limits through emphasising the importance of transparency in processes and the identification of drivers of change in the organisation.

The main reason for public sector reforms was to address inefficiencies in organisations and to improve service delivery. These inefficiencies include human resource capacity and integrity, responding to citizen needs and administrative processes and systems. Initial reforms include structural changes and process changes ranging from downsizing of the public sector to pay and employment reforms. The New Public Management (NPM) model arose in reaction to the limitations of the old public administration in adjusting to the demands of a competitive market economy. Despite the introduction of NPM, public sector failures remained and there is little evidence that NPM strengthens the quality and integrity of the public service. Specific features of the NPM model were soon criticised. A major concern is that NPM had diminished coherence across government as a result of the fragmentation of policy and delivery across multiple agencies and service providers.

Countries have ended up adopting a mixed approach that combines elements of different models of public administration. This phenomenon led to the introduction of new public governance and service approaches that could offer a useful remedy to the problems of earlier models of public management. These approaches are, however, very new and they do not yet offer a comprehensive approach to problems of public service efficiency and effectiveness. The view is that there is abundant evidence of administrative reforms in the form of legislation, frameworks and processes. At this stage the focus should be on the implementation of these reforms to ultimately ensure service delivery, which is also addressed through policies, plans and programmes. Performance monitoring on processes and outputs should therefore search for effective ways to make government responsive, efficient and effective, instead of adopting a hybrid approach that might not address the real challenges in governments.

3.3. Reforms in South Africa

According to Carstens and Thornhill (2000:183-184, 189), the constitutional reform and rationalisation of the public service in South Africa between 1990 and 2000 laid the foundation

for future technical and programmatic administrative reforms. In an attempt to cut public sector expenditure in the 1990s the South African government started a process of rightsizing. Rightsizing was supposed to reduce the number of staff employed in activities that had become obsolete and to make provision for growth in other priority areas. After 2000 government, however, moved away from an understated government towards a targeted personnel growth approach to create a more professional public service.

A Report of the Presidential Review Commission on the Reform and Transformation of the Public Service in South Africa (RSA, 1996:300-303, 306) reflects on reforms introduced, identifies remaining challenges and makes recommendations for addressing the challenges. One such recommendation was for government to consider the implementation of a performance-based programme budgeting system with conditions such as the development of clear objectives, a high level of political and administrative support, and the effective integration of planning and budgeting. Effective mechanisms for monitoring, evaluation and review are key to improve the efficiency and effectiveness of service delivery.

Carstens and Thornhill (2000:183-184, 189) note that in 2000, reforms focused on budget and financial management, deregulation, performance management and wage practices. The South African reforms, to enhance efficiency and effectiveness in the public service, were premised on a number of themes. Most of the themes, when analysed, qualify as NPM interventions that were applied by industrialised countries since the 1980s. In support of Carstens and Thornhill (2000:183-184, 189), Koma and Tshiyoyo (2015:35) and Cameron (2009:914-915, 920-923, 929) find that, despite different views on the influence of NPM on South African reforms, it is generally accepted that NPM values influenced reforms in South Africa, including structural changes or downsizing, decentralisation and financial control mechanisms. A common feature of NPM is corporatisation, which entails converting departments into independent enterprises. Corporatisation in South Africa took the form of establishing public entities. Public entities were seen as a vehicle to accelerate service delivery by circumventing the bureaucratic systems of the public sector. In addition to corporatisation, Engela and Ajam (2010: 1) states that the 1996 Constitution of South Africa also created the national, provincial and local government spheres of government. Policy making occurs primarily at the national level, while implementation of policies is shared by two or more spheres of government.

Financial reforms, which are also at the heart of NPM reforms include moving away from input-focused budgeting towards performance-focused budgeting. The Public Finance Management Act (PFMA), 1999 (Act No. 1 of 1999) introduced three-year programme budgeting in South Africa with a performance-based approach. The PFMA regulates the management of finances in national and provincial governments. It sets out the procedures for efficient and effective

management of all revenue, expenditure, assets and liabilities. It establishes the duties and responsibilities of government officials in charge of finances. The Act aims to secure transparency, accountability and sound financial management in government and public institutions. (PMFA, 1999) The objectives of the PFMA include giving greater responsibility to managers, but at the same time holding them accountable for outputs. It further aimed to modernise financial management systems in the public sector.

Performance management, as part of financial reforms, is a key feature of NPM and forms part of the performance-based approach adopted by the South African government. This can take the form of using performance indicators and the setting of targets to measure performance. Koma and Tshiyoyo (2015:36, 41) argue that a results-oriented (performance-based) public service would certainly ensure that public service delivery improves the standard of living of citizens. At the same time, government, through performance monitoring and evaluation, would be able to identify blockages in service delivery and include corrective action in the planning cycle and decision-making processes at all levels of government.

In addition to the above NPM-linked reforms, Koma and Tshiyoyo (2015:36) find that part of the reorganisation of government involves the appropriate coordination of all government programmes in the different spheres of government. The intergovernmental relations framework by the principle of cooperative governance, as prescribed by the Constitution of the Republic of South Africa, 1996 necessitated the clustering of departments. The objective of government clusters is to cooperate and collaborate with each other for the mutual benefit of citizens. This cooperation involves the combination, interchange and sharing of skills and resources to achieve efficiency and effectiveness in the delivery of public services. In addition to the clusters, the South African National Treasury, in an attempt to more closely align budgets to the 14 national development plan outcomes as reflected in the medium-term strategic framework (MTSF), categorised budgets of departments and entities within seven budget function groups. Various institutions across the three spheres of government are categorised within budget function groups. The categorisation is based on the objectives or activities, which the institutions are mandated to perform. Each function is also strategically grouped to facilitate subject-specific discussions targeting service delivery requirements and policy priorities as set out in the National Development Plan, vision 2030 (NDP) and MTSF (RSA, 2018: i).

In support of Carstens and Thornhill (2000:183-184, 189), Koma and Tshiyoyo (2015:35), Cameron (2009:914-915, 920-923, 929) and Fölscher and Cole (2006:2, 4, 9, 11) find that South Africa has successfully implemented a number of reforms. The way in which budgets are developed and how the public service accounts for public expenditure and commitments have changed radically. Since 1994 the reforms include the improvement of the classification

system of public finances and creation of a performance-oriented public service. Some of the budget reforms were to adopt a multi-year budget framework and the implementation of a top-down budget process. In support of Fölscher and Cole (2006:2, 4, 9, 11), Robinson and Last (2009:12) establish that South Africa was under pressure to improve the budgetary system in the late 1990s due to broader democratic reforms. The budget has been fully converted to presentation by programme, with descriptions, objectives, outputs and programme performance indicators, along with financial information over a medium-term expenditure framework (MTEF). The implementation of programme performance budgeting in South Africa is considered to be one of the best practices in the developing world. According to Andrews (2003:2.7), the successful implementation of PPB in South Africa, together with the implementation of the PFMA among others, increased the focus of linking the budget with outputs and government objectives.

According to Fölscher and Cole (2006:4), South Africa, however, struggles to deepen budget reforms for enhanced service delivery. The South African reforms placed emphasis on establishing a functional budgetary process rather than on attempting to formulate budget estimates that were technically the best expression of policies and/or expenditure realities. A budgeting system should always be responsive to changing circumstances and demands. Fölscher and Cole's (2006:4) argument is that the South African budget reforms were successful in terms of pre-1994 governance processes only. The effect of the reforms on service delivery and improving macro- and socio-economic outcomes in South Africa is still to be realised.

According to the World Bank (1998:82), reforms are often procedural or technical and do not focus on rules that undermine performance. Reforms also might not have focused on building systems and processes that effectively link policy, planning and budgeting. In confirmation of the findings of the World Bank (1998:82), Andrews (2003:2.14) finds that budgets in South Africa do not provide a clear link between performance and allocations. Andrews (2003:2.19) further identifies that performance indicators do not provide an effective basis for measurement and management, and budgets fail to identify accountability.

The World Bank (1998:95) confirms that South Africa uses a four-year multi-annual budget approach, which is programme-based. Existing and specialised structures with clearly defined responsibilities overlap and reinforce one another, increasing the accountability of individual actors.

In contradiction to findings by Andrews (2003:2.14) and Fölscher and Cole (2006:4), the 2008 Public Financial Management Performance Measurement Framework (PEFA) report (a diagnostic tool assessing public finance management performance in a country) for South

Africa, found that South Africa prioritises programmes efficiently, reprioritises resources and monitors programme implementation. These characteristics also form the basis for the multi-year budget framework in South Africa. The 2014 PEFA 'Repeat' Assessment for South Africa shows that one of the main reforms is to improve alignment of spending with national priorities and the maximisation of existing resources towards these priorities. The latest reforms have been on efficient resource allocation and effective service delivery. Changes to the budget process, especially the introduction of function budgeting, should allow role-players to consider key policy choices and align available resources to plans by using budget programme structures, rather than item-by-item cost estimates. The findings from the 2014 PEFA 'Repeat' Assessment, however, might be due to the findings of the World Bank (1998:82) that reforms are often procedural or technical and do not focus on rules that undermine performance. Another possibility for the contradiction might be due to the focus of the diagnostic tool. The focus might not be to measure the methodologies used for implementing the reforms.

According to Andrews (2006:149), South Africa still requires budget entities to link performance-driven strategies with budget submissions. Limited use of performance information is also found.

Brynard (2005:653) argues that various opinions exist as to the most appropriate approaches to policy implementation in the South African context. He is further of the opinion that South Africa adopted its own approaches in implementing the range of policies in government. These approaches are despite prominent models debated and practised internationally. Nevertheless, it is noted that although the complexity inherent in implementation processes has been amply demonstrated, research is still nowhere near a widely accepted causal theory with analytical or prescriptive rules.

The United States of America and Western Europe have moved through different stages of policy implementation research, while South Africa is in the midst of the implementation era.

From the review and observation in the public service it is clear that there has been considerable innovation in organisational design, management practices, public policy and law making in South Africa. Most of these initiatives emanate from the Constitution (sections 195, 214 and 215) which laid the foundation for reforms. The influence of NPM is visible in the approach to decentralisation and financial control mechanisms. In terms of decentralisation, the establishment of public entities and other government institutions continues, not only to accelerate service delivery, but also to avoid the bureaucratic systems of the public sector. This form of decentralisation has expanded to a great extent over time but has not improved efficiency and effectiveness in service delivery.

Financial reforms, which are at the heart of NPM reforms, were guided by the introduction of the PFMA, which not only regulates the management of finances in national and provincial governments, but also establish the duties and responsibilities of government officials and procedures for efficient and effective performance management. At the same time, government, through performance monitoring and evaluation, would be able to identify obstacles to service delivery and include corrective action in the planning cycle and decision-making processes at all levels of government.

To assist public service officials, several guidelines and frameworks were developed to ensure reform implementation in a consistent manner. These guidelines include:

- “In-year Management, Monitoring and Reporting, Best Practice Guide;
- Framework for the Managing Programme Performance Information;
- Policy Framework for the Government-wide Monitoring and Evaluation System;
- The Role of Premiers’ Offices in Government-wide Monitoring and Evaluation: A Good Practice Guide;
- Green Paper on Strategic Planning;
- Guide to the outcomes approach;
- The Guidelines on Budget Programmes; and
- The Framework for Strategic Plans and Annual Performance Plans”.

Despite the fact that South Africa has implemented legislation and guidelines for planning and budgeting reforms, the country still struggles to deliver on policy outcomes. This phenomenon remains a challenge and could be because the South African government adopts its own approach in terms of its methodology of implementing administrative reforms. An in-depth analysis of structures, processes and systems, supporting policy implementation, might identify some blockages. Investigating these blockages could reveal some lessons learnt to improve policy implementation in South Africa and in other developing countries.

3.4. Summary

Policy implementation is one of the key elements of public administration, which includes strategic planning, management control and operational control.

Economic and political developments, and inefficiencies in public administration and state institutions are only some of the reasons that necessitated the introduction of public sector reforms. Reforms range from planning, programming and budgeting system approaches, with the emphasis on financial planning and cost accounting in the 1960s to a more programme management-by-activity approach in the 1970s and 1980s. The reform interventions carried out since the 1980s became known as new public management (NPM). New methods and

techniques focused on service delivery processes, quality standards and the acceptance of goals for continuous improvement. The use of performance indicators to measure the efficiency and effectiveness of public service delivery also became popular. Managing for results became an increasingly important public sector management theme during the 1990s. The use of Results-Based Management (RBM) or Performance-Based Management (PBM) mechanisms became the means of promoting good governance and results-oriented public sector management.

The assumption is that there are benefits in terms of efficiency and effectiveness in exposing public sector activities to market pressures and in using markets to provide public services. Critique of the efficacy of NPM led to new approaches to public management that focused on the whole of government. These approaches include new public governance and new public services models. Globally and also in South Africa, these models incorporate a number of features such as public service delivery by multiple inter-dependent actors and multiple processes and inputs that shape policymaking. Government is treated as just one actor, together with others, engaged in policy deliberation and service delivery and is no longer assumed to be the sole force shaping public policy and implementation. The new public governance model emphasises inter-organisational relationships and the governance of processes.

Regardless of the different focuses of the reforms, performance measurement has searched for effective ways to make government work better and more cost effectively. Apart from the role of performance measurement in government effectiveness, the focus of reforms shifted to a more holistic performance-based management approach that balances financial efficiencies with outcome effectiveness. Since 1994 South Africa has implemented a number of public management reforms, including the improvement of the classification system of public finances, and has created a performance-oriented public service. The introduction of programme performance budgeting in South Africa is considered to be one of the best practices in the developing world. The way in which budgets are developed and how the public service accounts for public expenditure and commitments have changed radically. The budget process, formats and guidelines on the implementation are well formulated. Institutions are, however, still struggling to implement the mechanism as intended.

Performance-based management provides instruments for strategic planning, budgeting, monitoring and evaluation, reporting and organisational improvement, with the main focus on results. Programme performance budgeting, a form of performance-based budgeting further allows for government spending to be classified by programme. A programme or budget programme represents a management unit and funds a clearly defined set of objectives based on the services or functions within a department's legislative and other mandates.

Despite dedicated strategies and tools that aim to manage and measure performance, major challenges in the implementation of performance-based management systems remain. These challenges are found to be an international phenomenon, in which political, economic and cultural factors may influence policy implementation. South Africa is also not excluded from these challenges. Despite the reformed public service and performance-based public sector management systems, many challenges exist in practice that handicap policy implementation. An in-depth analysis of reforms, structures, processes and systems that guide implementation is undertaken in the next chapter to provide lessons for improved public sector performance.

CHAPTER 4: FACTORS INFLUENCING SUCCESSFUL PUBLIC POLICY IMPLEMENTATION

4.1. Introduction

The objective of chapter 4 is to establish the key factors influencing the success of policy implementation.

Friedman (2001:1) argues that policies direct the actions and decisions of public service officials, which affect service delivery and also determine the success of policy implementation. In addition to Friedman (2001:1), Greene (2005:272) is of the view that public policy is the most important area of public administration. Public Administration is also involved in the entire policy process and is responsible for implementation. Pressman and Wildavsky (2012:318) argue that policies should not be formulated without defining actions for implementation. Implementation could also not be determined without a goal against which to measure performance. On the other hand, Hupe (2018:169) claims that, although goals, stated on paper, may provide an orientation, they do not determine the actual behaviour of implementers or policy outcomes. When goals are not achieved the failure will be attributed to a lack of compliance by implementers – where compliance is not just referring to governance, but compliance to implementation specifications that are theoretically embedded in government structures and processes.

Rahmat (2015:306), in support of Friedman (2001:1), argues that policy implementation is of critical importance to the success of government. Policy implementation is about the accomplishment of public policy objectives, the process by which, and the structures through which, policy is intended to affect social needs and outcomes. Implementation is at the core of the discipline of public administration and aims to contribute to the entire performance management process. It is, therefore, critical to identify the core factors that influence policy implementation. Some explanations for policy failure are clear; others are, however, difficult to identify in a systematic manner [when considering the entire policy process]. One of the cases studied for successful policy implementation was by Sabatier (1986:28). This success was due to the development of clear objectives. Some of the other characteristics identified include a good causal theory, relatively few rejection points, skilful implementing officials, and adequate financial resources.

The chapter explores the progress made in policy implementation research, including the change in the policy implementation research landscape. The chapter includes the identification of factors, agreed upon by scholars, influencing policy implementation, and the involvement of instruments to operationalise policy intent. It further discusses the strategic,

technical and operational activities involved in the policy process. It concludes with an explanation of the need for public policy and the determination of success or failure during the policy process.

4.2. Evolution of policy implementation studies

According to Hupe (2018:170), a period of interventionism started in reaction to the Great Depression (1929–1930) in the United States of America. The idea was to solve problems via government intervention or the policy implementation paradigm. The policy implementation paradigm was accompanied by great expectations and a quest for control. Disappointment, however, followed. McLaughlin (1987:171) claims that the discovery of the policy implementation problems in the mid-1960s and early 1970s came as a surprise to planners and analysts. Fundamental theories of governmental action and organisational behaviour ignored implementation problems or even overlooked them altogether. During this period, economists interpreted poor programme outcomes as market failure and sought solutions in incentives. Sociological and organisational theorists, on the other hand, identified inadequate organisational control and suggested new penalties and increased oversight. In addition to McLaughlin (1987:171), Conteh (2011:123) finds that, since the dialogue among scholars of public policy implementation started in the early 1970s, research has gone through three major phases, commonly referred to as the first, second and third generations of policy implementation research.

4.2.1. First generation of policy implementation research

Brynard (2005:6) describes the first generation of thinking as the classical generation. The assumption of this generation was that implementation would happen automatically once a policy had been approved. Pülzl and Treib (2007:89) find that the first generation of implementation studies emerged, in the 1970s, as a reaction to concerns over the effectiveness of a number of reform programmes within the United States of America. These concerns were further fuelled by a number of case studies that showed policy implementation failure. Raising the concerns of the effectiveness of a number of reforms in the wider scholarly community and in the general public has been seen as the most important achievement of the first generation of implementation studies. Although theory building was not the aim of the first generation of implementation studies, it did inspire a growing body of literature. Ryan (1995:66) finds that some suggestions regarding the improvement of policy implementation were made during this period. Systematic models addressing either the dynamics of processes or failure to achieve programme objectives were, however, not developed. It would be interesting to know how this generation determined success or failure. According to Pülzl

and Treib (2007:89), the second generation began to put forward a whole range of theoretical frameworks and hypotheses to analyse policy implementation.

4.2.2. Second generation of policy implementation research

According to Brynard (2005:6), the second generation of research scholars emerged in the late 1970s and early 1980s. Ryan (1995:66-67) finds that implementation literature during this period attempted to search for implementation factors that may affect policy outcomes and the development of conceptual models as part of an implementation strategy. Five elements of effective implementation were identified:

- A unitary organisational unit with a single line management structure
- Uniform standards within the administrative system
- Good communication
- Coordination and
- The absence of time pressure

Hupe (2018:170) notes that it was also during this period (1980s) that the New Public Management (NPM) paradigm emerged. Government was required to run as efficiently as possible. Implementation or service delivery began to be contracted out, as long as the institutions delivered on agreed outputs. One of the concerns Hupe (2014:168-169) raises was how researchers should handle the fact that policy implementation, almost by definition, implies the involvement of multiple actors on different layers. This is still a major concern: specifically, to track and determine the degree of government policy implementation.

According to Hupe (2014:168-169), implementation models are developed according to the perspective taken by the initial policymaker, the implementing official in the field or the target group. These three perspectives of the second generation of policy research led to the top-down and bottom-up debates.

Conteh (2011:123) agrees with the view of Hupe (2014:168-169) that the second generation of policy implementation research was marked by the emergence of the top-down and bottom-up approaches in the scholarly literature. The theoretical and practical assumptions of the top-down approach were, however, criticised as too systematic and unable to do justice to the realities of policy delivery in a democracy. The critics, on the other hand, adopted a bottom-up approach. The bottom-up policy implementation approach starts with street-level public officials that often interact with organised societal interests.

4.2.2.1. Top-down approach

Ryan (1995:67) explains that top-down approaches to policy implementation are characterised by a focus on structuring programmes, policies or laws goals and objectives. The top-down approach assumes that policy is formulated at the top level of management or the executive. The policy is then translated into instructions for those who will implement policy at the bottom. In addition to Ryan (1995:67), Matland (1995:146) and Pülzl and Treib (2007:91-92) explain that in a fully developed top-down model, tractability of the problem, ability of policy decisions to structure implementation, and non-statutory factors affecting implementation determine the probability of successful implementation. Top-down models of policy implementation are concerned with the degree of correspondence between the actions of implementing officials and target groups with policy decisions, goals and objectives. Implementation is also defined as the carrying out of a basic policy decision, usually incorporated in law, executive orders or court decisions. The starting point of the authoritative decision, located in centrally placed actors, is seen as relevant to producing the desired effects.

In support of Ryan (1995:67), Matland (1995:146), Pülzl and Treib (2007:91-92) and Hupe (2018:171-172) state that policies normally contain both goals and specific techniques for achieving them. The question then is how one distinguishes between policy and implementation. Policy refers to formulation, which refers to policymakers at the top; while 'policy implementation' suggests a chronological order of the determination of instruments to achieve goals. Relevant instruments influence causes and produce desired results. This order also presupposes linear causality. Hill (2013:207) argues that the top-down perspective is rooted in a stages model. This model makes a clear distinction between policy formulation and policy implementation. Policy implementation is regarded as actions by public or private individuals or groups to achieve objectives from prior policy decisions.

Brynard (2000:172) regards the Sabatier and Mazmanian framework as the most influential articulation of the top-down perspective. According to Sabatier (1986:23-25, 29), the Sabatier and Mazmanian top-down policy implementation framework took the first generation of implementation research as its point of departure. The framework first identified a variety of legal, political, and tractability factors affecting the different stages of the implementation process. The researchers then synthesised these factors into a shorter list of six conditions for the effective implementation of legal objectives:

- "Clear and consistent objectives. Clear legal objectives were viewed as providing both a standard of evaluation and an important legal resource for implementing officials.
- Adequate causal theory: the adequacy of the jurisdiction and policy levers given implementing officials as a means of establishing those fundamental assumptions.

- Implementation processes legally structured to enhance compliance by implementing officials and target groups. (For example, the assignment of programmes to implementing agencies that would be supportive and give them high priority.)
- Committed and skilful implementing officials.
- Support of interest groups and sovereigns.
- Changes in socio-economic conditions, which do not substantially undermine political support or causal theory". (Cloete and Wissink, 2000:172)

Sabatier and Mazmanian had the framework tested in a variety of policy areas and political systems. The six conditions for effective implementation have proven to be a useful checklist of critical factors in understanding programme performance.

Cerna (2013:18), in support of Sabatier (1986:30), argues that the centralisation of policy formulation could lead to policy manipulation at the central level and is, therefore, a source of criticism. Sabatier (1986:30) acknowledges the view of bottom-uppers that central decision-making is a fundamental flaw in top-down models. Central decision-makers tend to neglect other actors. Initiatives from the private sector, street level bureaucrats, local implementing officials and from other policy subsystems are neglected. In addition to Cerna (2013:18) and Hill (2013:207), Ryan (1995:68) argues that the top-down policy implementation approach depends too much on the development of clear and consistently defined objectives. After several years of experience and testing, Sabatier (1986:29), however, acknowledges that the emphasis Sabatier and Mazmanian placed on clear and consistent objectives in their framework was a mistake. Hupe (2018:173-174) finds that, the top-down approach had limited explanatory power. Goal achievement is assumed after instruments for implementation have been decided on. The top-down approach leaves implementation of public policy to the discretion of implementers. Perceived implementation failures stem from policy mandates that neglect to specify desired actions or to include features aimed at facilitating implementation. Implementation gaps then remain difficult to understand, while implementers may be blamed for non-compliance.

Although the emphasis on the quality of policy concepts by Sabatier and Mazmanian has been criticised, quality should not be ignored. The six conditions for effective policy implementation are regarded as critical for policy implementation. The top-down approach of central decision-making is supported. This support, however, is subject to the responsiveness of the policy and clearly defined strategic concepts. Clearly defined concepts are important to ensure that policy goals are implemented as intended. Policy formulation, including mechanisms to implement policies, should be developed in consultation with policy implementers. It is further not clear whether the suggested factors affecting the different stages of policy implementation as

identified by the top-down approach were only identified for analysing new policies. A factor indicating a degree of control or policy implementation success is expected when analysing existing policies.

Sabatier (1986:31-32) acknowledges that the bottom-uppers have been able to advance some rather significant arguments against the top-down approach. The question is whether they have been able to accomplish the more difficult task of developing a more viable alternative.

4.2.2.2. Bottom-up approach

Ryan (1995:68-69) argues that the criticism of the top-down implementation approach provided the basis for the development of the bottom-up approach. The bottom-up approach highlighted the importance of street-level bureaucracy in the delivery of policy. Bottom-up enthusiasts also argued for the decentralisation (as promoted by the new public management approach) of the control of government programmes. The assessment of success or failure moved away from the determination of meeting objectives. Success or failure was determined by the capacity of policy implementers to influence the behaviour of target groups. In addition to Ryan (1995:68-69), Matland (1995:148) and Pülzl and Treib (2007:92) argue that goals, objectives, activities and contracts of the actors involved in the micro-implementation process must be understood in order to understand implementation. The bottom-up approach focuses on the micro level where policy directly affects people. Bottom-up theorists therefore emphasise target groups and service delivery agents. Bottom-uppers have also convinced implementation scholars that implementation is more than the technical performance of political orders from above. Implementation is in itself a political process in which policies are frequently reshaped or redefined during progression. A further suggestion from bottom-up scholars that policy implementation and formulation are highly interdependent processes have become more and more accepted by policy implementation scholars. Cerna (2013:18-19) asserts that, although the bottom-up approach is more flexible to adapt to a local context, policy control should be exercised by actors whose powers are derived from their elected representatives.

Matland (1995:148) and Pülzl and Treib (2007:92) argue that, while top-downers have a strong aspiration to present inflexible advice, bottom-uppers have placed more emphasis on describing the factors that have caused difficulty in reaching stated goals. While under certain conditions it is most appropriate to have either a top-down or a bottom-up approach, it is important to recognise that both schools of thought contain fragments of truth relevant in any implementation situation. In support of Matland (1995:148) and Pülzl and Treib (2007:92), Brynard (2000:169) views the division of the top-down approach from the bottom-up approach as the single most important fault line in the field of policy implementation research. The focus

areas of bottom-up theorists include challenges experienced by service delivery agents to implement goals and to change the behaviour of target groups. These two challenges point to the quality of policy formulation identified by the top-down theorist. In this context quality refers to the responsiveness of policy to target group needs as well as the clarity of policy concepts such as goals and objectives. This dissertation fully supports the view of Brynard (2000:169) that the top-down and bottom-up approaches should not be seen as separate approaches.

4.2.2.3. Combined approach

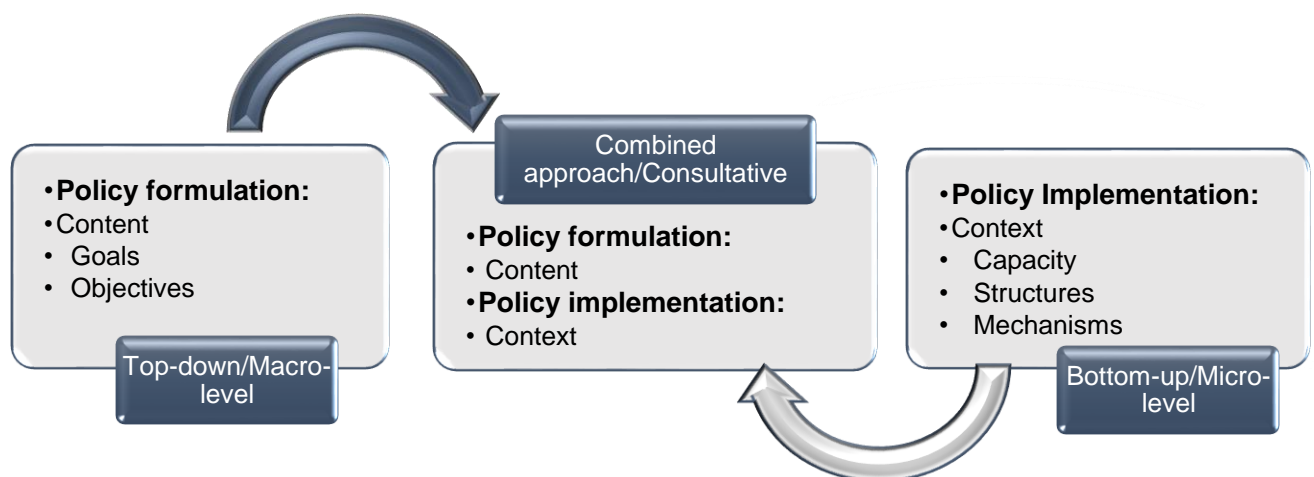
Sabatier (1986:38) outlines a combined approach, which synthesises the best features of the top-down and bottom-up approaches. The combined approach for policy implementation analysis also proposed a longer time frame for policy implementation (10–15 years) than previous implementation research suggested. Brynard in (2000:174) supports the general consensus of researchers on the need to synthesise the major features of the two approaches and the development of models that capture the strengths of both. Brynard (2000:174) also finds that researchers are generally in agreement that implementation is a complex, dynamic, multilevel, multi-actor process influenced both by the content and context of the policy being implemented. Brynard (2000:174) further argues that policy implementation is not so much about the collection of factors used, as about the relative importance of specific factors within specific cases of implementation. In most implementation situations both top-down and bottom-up features will often exist simultaneously.

Conteh (2011:123-124), however, contests the actions of the second generation of researchers, including Sabatier. He views the combined approach as a conceptual framework that consists of a set of theories of implementation. Conteh (2011:123-124) criticises the combined approach of simply combining the factors from the top-down and bottom-up approaches into a long list of factors and complex diagrams of causal chains. From a review of policy implementation analysis approaches, Ryan (1995:76-77) concludes that the debates, criticisms and concerns of implementation could be summarised in three broad categories: theoretical diversity, methodological weaknesses and the theoretical differences on the relationship between implementation and the policy process. Ryan (1995:77) suggests that, while the search for a single implementation theory continues, it should not prohibit the development of third-generation models.

It is agreed that the best features of the top-down and bottom-up approaches should be synthesised. The synthesis should, however, not simply combine the factors from the top-down and bottom-up approaches. The most important consideration should be synergies created by the combination of factors. Some of the main governance activities identified by the second-generation researchers within a top-down and bottom-up framework are shown in

diagram 4.1. The diagram starts with the top-down approach at a macro-level. Policy formulation is informed by the political or executive level of government that formulates goals and objectives in reaction to an identified challenge. It is, however, accepted that policies are informed by citizens' needs at street level. The bottom-up approach focuses on the context of policy implementation – context in relation to the capacity and mechanisms available to implement at street level. Policy implementers use the structures and mechanisms provided by government to produce outputs or services, given that the necessary resources are allocated to these structures to implement programmes. It is expected that the combined approach would regard content and context as integrated processes.

Diagram 4.1: Policy implementation activities and factors categorised within a top-down and bottom-up framework



Source: Author (from literature reviewed)

The missing link between the two approaches is, however, the interpretation of policy goals and objectives by policy implementers.

4.3. A change in the policy implementation research landscape

O'Toole (2004:315) claims that during the third generation of policy implementation research, the perception among some scholars was that interest in conducting implementation research has diminished. The perception was that relatively little research has been done during the third generation. O'Toole (2004:315), however, argues that work has proceeded along a number of parallel, overlapping and relevant lines of research. One example is the work of Menzel (1987:7-8) who believes that organisations are the primary vehicle through which policies are implemented. An improved understanding of policy implementation goes hand-in-

hand with an improved understanding of organisations. These understandings include knowledge about the internal characteristics as well as the external relationships of organisations. In support of Menzel (1987:7-8), McLaughlin (1987:177) identifies regularities of process and organisational structures as stable outlines of the policy process. On a micro-level, however, organisational action is problematic and often has unpredictable outcomes due to independent actors, motivated by self-interest. On a macro-level, insufficient guidance to policymakers or implementers interested in understanding programme outcomes, evaluating alternatives, assessing internal work requirements, or developing methodologies of how policies are operationalised in practice is problematic for policy implementation. Linking the micro- and macro-level factors was a challenge faced by the third generation of researchers.

Building on O'Toole's (2004:315) argument that policy implementation work has proceeded, Conteh (2011:124) also finds that, during the 1980s, the process of policy implementation was influenced by structural changes in public management. These structural changes included moving towards decentralisation, devolution of responsibilities, partnerships and the restructuring of accountability in service delivery. Due to these structural changes, public policies were gradually being implemented in concert with non-state organisations in collaborative partnership arrangements. As a result of transitions towards complex and multi-actor policy implementation processes, the focus of research on policy implementation shifted towards clarifying combined action across institutional boundaries. Thus, one notices the broadening of the approach to research on policy implementation into a multi-focus perspective that looks at a multiplicity of actors, location and levels. The different levels of policy action consist of [national,] provincial and municipal jurisdictions and their entities. (Conteh 2011:124) Inter-organisational partnerships are likely to be permanent features on the landscape of policy implementation. These partnerships were also identified by Brynard (2005:20) as one of the most forceful findings of implementation research. Hill and Hupe (2003:472) argue that, if implementation depends upon a number of links in an implementation chain, then the degree of cooperation between agencies required to make those links has to be very close to 100 per cent. If not, a number of small interruptions, cumulatively, could create large inefficiencies.

Peters (2014:132) accepts the general premise that implementation involves collaborative action by multiple organisations. He, however, emphasises that some important public functions remain uniquely governmental and could be managed by a single public institution. Regardless of the implementers involved, public policy implementation remains a complex process.

In earlier work, O'Toole (2000:276) and Lynn, Heinrich and Hill (2000:235) consider the comprehensive subject of how systems of governance deliver policy impact. According to O'Toole (2000:276), governance refers to several related dimensions of the contemporary policy world. One dimension identified by O'Toole (2000:276) is policy action; many factors influence results but are too often examined in an isolated manner, to the relative neglect of other parts of the explanation. Another aspect is that governance is significantly broader than government itself. Governance considers the design, operation of structures and processes of policy implementation including control, wherever these responsibilities are placed. Governance is, therefore, complementary to the operation and structures of organisations. Programmes are treated as units of analysis. This phenomenon proposes that performance is considered a function of an array of factors such as the environment, technology, client or target group characteristics, structure and management. Some of these factors have been addressed in implementation research over the years.

In support of O'Toole (2000:276), Lynn, Heinrich and Hill (2000:235) also acknowledge the impact of government activity on the production and delivery of publicly supported goods and services. Lynn et al (2000:235, 240), however, focus their discussion on the relationship between governance and government performance on the regimes of laws, administrative rules, judicial rulings, and practice that constrain, prescribe and enable government activity. Lynn et al (2000:235, 240) indicate that "the location of theory-based research within governance is integral to producing a rigorous understanding of governance. The challenge is to explain government results, outcomes, impact or performance in ways that allow for the separate identification of governance arrangements and public management". In the context of policy implementation, for example, it would be important to understand how governance regimes should be designed to insure priority in resource allocation and achievement of particular goals and objectives. In addition to Lynn et al (2000:235), Conteh (2011:124) finds that a shared concern, by theorists on policy implementation, is to understand the interaction between government and the external environment in the delivery of policy goals. It is agreed that governance arrangements and public management should allow for explaining government results, outcomes, impact and performance.

4.3.1. The third generation of policy implementation research

According to Pülzl and Treib (2007:89), the third generation of implementation research developed theoretical models by addressing the criticism of the top-down and bottom-up approaches. The intention of the third generation of research was to be more scientific than the previous approaches to the study of implementation. In support of Pülzl and Treib (2007:89), Hupe (2018:175) suggests a more analytical and less evaluative approach.

Conteh (2011:124) finds that the third generation of researchers refined the large number of factors identified by the second generation into a manageable framework. The refined set of factors, however, proved to be too ambitious. Scholars were not willing to undertake analysis using the framework. Despite the attempt to refine the number of factors, O'Toole (2004:315), in support of Conteh (2011:124), also finds that consensus was not close at hand. Research literature was still overpopulated by a mass of potential explanatory factors. Brynard (2005:8), in agreement with O'Toole (2004:315), claims that in addition to the consensus on factors, researchers also did not agree on the outline of theory of implementation. Brynard (2005:5-8) argues that the third generation was more concerned with understanding how implementation works and how it can be improved. The third generation of scholars, however, enhanced important clusters of factors and searched for a fully-fledged implementation theory that should not go underappreciated.

Until this point the review has focused on examining the development of theory on policy implementation analysis over time. Going forward the review focuses on mechanisms for policy implementation analysis. The aim is to use previous policy implementation research outcomes as a basis to categorise the factors that influence effective policy implementation within the standard mechanisms for policy implementation within government.

4.4. Factors influencing policy implementation

Hupe (2018:175) argues that, since implementation performance research started, hundreds of factors with an assumed influence on policy implementation have been identified. The argument is that, with three hundred critical factors already, literature does not need more factors, but needs structure. Such structures can be found in a range of theoretical approaches to implementation research. The characteristics of these structures range from general to more or less comprehensive.

Pressman and Wildavsky (2012:319) argue that when objectives are not met the immediate reaction is the assertion of faulty implementation by structures. This also implies that actions that were supposed to be taken were not taken. Another explanation is that targets were set too high. Too much was expected by policy developers from policy implementers. A third possibility is the mismatch between the means and the ends. This mismatch questions the suitability or clarity of the original policy design. Pressman and Wildavsky (2012:320) further assert that the separation of policy design from implementation is fatal.

Based on the changes to multi-focus perspectives, Lynn et al (2000:244) find that public-sector governance regimes require strong management structures to achieve goals and objectives. Management and managerial behaviour would, therefore, always be a factor in government

performance. In general, one may identify broad prioritised categories of factors in any particular logic, model, or theory of governance or public management. Lynn et al (2000:244-246) summarise priority categories in a simple reduced-form model of governance and public management as follows:

“ $O = f(E, C, T, S, M)$, Where:

O: outputs/outcomes (individual level and/or organisational outputs/outcomes)

E: environmental factors

C: client characteristics

T: treatments (primary work/core processes/technology)

S: structures

M: managerial roles and actions”

This model represents the first step in framing the researchers’ simplified, theory-based governance research. The simplified model is not a theory, but it proposes possible links between various independent and dependent factors of interest in governance research. Lynn et al (2000:244-246) explains that these relationships in the model are underlined by a complex causal structure of interdependencies that often exist between (and within) E, C, T, S, O, and M. The proposed simplified model encourages researchers to locate particular theories and models within a more general framework. Unless it could be argued theoretically that interactions between factors do not occur, the most useful logic for governance research is likely to be the one that considers at least two of these types of components and/or levels of analysis. Lynn et al 2000:244-246 argues that researchers could also add elements or factors of theoretical complexity into an originally reduced-form model. The use of such logic could broaden the scope of implementation analysis for government researchers. Within a governance framework, researchers can explore the factors of policy and programme impact without becoming distracted by the alleged contradiction between policy-level (or top-down) and street-level (or bottom-up) explanations of outcomes. On the other hand, O’ Toole (2004:316-318) argues that theories of policy implementation cannot be applied directly in an analytical sense to identify dynamic situations and to standardise precise responses to action needs. According to O’Toole (2004:316-318), scholars could consider four general strategies to improve implementation theory. These strategies include:

- Recognising and expand on points of general agreement, such as the role of resources in successful policy implementation.
- Finding points of theoretical disagreement and communicating the results of empirical studies in practice.
- Comparative advantage of available knowledge could be useful in different situations.

- Tapping artificial perspectives in practical ways could assist in a practical manner.

Similar to Lynne et al (2000:244-246), Brown and Scott (2007:3) identify a range of factors for consideration in governance, before the policy implementation process starts. The six key factors identified by Brown and Scott (2007:3) are:

- “Internal support;
- External support;
- Leadership;
- Communication;
- Resources; and
- Staffing”

Brown and Scott (2007:4) further identify that clear support within an organisation is essential for policy implementation, especially when resources are required. According to Brown and Scott (2007:4), the following factors affect internal support:

- “The fit of the initiative with current organisational goals and objective;
- The fit of the initiative with existing operations/initiatives;
- Whether the support of particular units/people within the organisation is essential for successful implementation;
- Whether the implementation requires a change to existing policies or working practices;
- Issues associated with the organisation's internal politics that may make implementing the particular initiative problematic; and
- Whether a champion at the senior management level will be responsible for the initiative”.

In support of Brown and Scott (2007:4), Grizzle and Pettijohn (2002:54-58) classify critical policy implementation factors into the following four categories:

- Communication
- Resources
- Disposition and attitudes of implementers
- A bureaucratic structure

Tummers, Steijn and Bekkers (2012:7) find policy content, organisational context, and personality characteristics important in explaining the willingness of professionals to implement public policies. These broad categories not only confirm findings by other researchers, but also confirm the complexity and multidimensional character of categories of factors that influence policy implementation. The researchers further suggest the inclusion of many factors for explaining the willingness or resistance of public policy implementers to implement policies. This suggestion would add to the understanding of the attitudes of public

policy implementers towards government policies, which could ultimately lead to policy implementation being more effective. Building on the organisational context factors that play a role in successful policy implementation, Cerna (2013:17) argues that not acknowledging the political, economic and social context can also lead to incoherent policy implementation efforts. Cerna (2013:17) acknowledges that it is difficult to identify specific factors or conditions that facilitate successful policy implementation. Successful policy implementation in education has, however, been found where coherence, stability, peer support, training and engagement existed. In general, she supports system reforms, compliance to directives, accountability for reaching targets, capacity, adequate resources and clear goals as important for successful policy implementation.

4.4.1. Accepted factors influencing policy implementation

From a survey of more than 300 empirical studies, Najam (1995:35) identifies five categories of factors, that might shape the direction for policy implementation. These factors, also known as the 5C protocol, emerged from a multitude of scholars working across a range of different political systems, various levels of economic development and different sectors. Half of the empirical implementation research studies identify content as a key variable and almost the same number consider capacity to be crucial. Other commonly identified categories are for example:

- Implementing actor or multi actor structures (context)
- Attitudes of implementing personnel (commitment)
- Alignment of clientele (client and coalition)

In support of Najam (1995:35), Brynard (2005:20-21) defines these factors as follows: The first factor, policy content, relates to the setting of goals and actions to achieve them. The next factor focuses on the institutional context in terms of the bureaucracy through which implementation occurs. A favourable bureaucratic context for policy implementation is more often due to human interaction than hierarchical regulations. The third factor is commitment. Those responsible for policy implementation must be willing to implement. Policy implementation also depends on the capacity of the implementing agent (public sector). Capacity in this context refers to the availability of resources such as human resources, financial resources, logistics, technology and a conducive environment such as the political, economic, cultural and social environment. The fifth critical factor is the support of clients and outside coalitions. The success of this factor lies within the identification of the key constituencies that have the ability to influence the implementation process, as opposed to all identifiable clients. The identification of too many minor clients and coalitions could also

become unmanageable. Peters (2014:135) expands on the client and coalition factor by cautioning that, although the simplest implementation structures are those functioning entirely within the public sector, these structures themselves are complex and involve a number of institutions. Multiple organisational implementation structures primarily from within the public sector may be different, depending upon whether the structures are vertical or horizontal. Vertical implementation structures involve several levels of government. On the other hand, institutions involved in horizontal implementation structures may not be in the same policy area as usually defined, but they may all contribute to the eventual success or failure of a programme. These implementation structures tend to create implementation problems largely through coordination problems.

In addition to the 5Cs, Brynard (2005:21) regards communication as an overarching factor for implementation, which forms an integral part of policy implementation.

Table 4.1 shows the selection of similar factors identified or supported by researchers presented in the text. The selection attempts to be representative for general analysis, but it is not exhaustive.

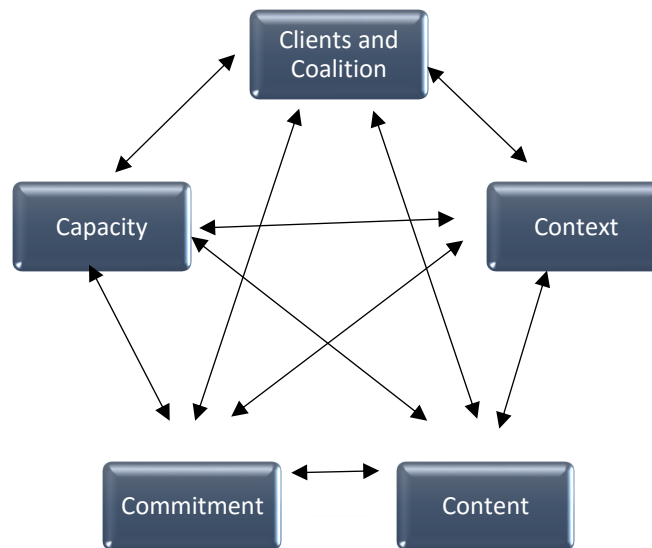
Table 4.1: Factors that influence policy implementation

This or similar factors identified as critical for successful policy implementation	Researchers*	
Content	Brynard Lynn et al Najam	Tummers, Steijn and Bekkers
Client and outside coalition	Brynard Brown and Scott Lynn et al	Cerna Najam
Commitment	Brynard Tummers, Steijn and Bekkers	Cerna Grizzle and Pettijohn Najam
Context	Brynard Grizzle and Pettijohn Tummers, Steijn and Bekkers	Cerna Lynn et al Najam
Capacity	Brynard Brown and Scott Grizzle and Pettijohn	Cerna Lynn et al Najam
Communication	Brynard Brown and Scott Grizzle and Pettijohn	Najam

Note: * Appendix A provides a comprehensive list of researchers who identified similar or the same factors.

Diagram 4.2 is an attempt by Najam (1995:35-36) to explain implementation as a complex process. The diagram also shows the interlinkages of the 5Cs.

Diagram 4.2: Interlinkages of factors in the 5C protocol



Source: Najam (1995:35)

Najam (1995:36) explains that each of the factors is linked and influenced by the other. The extent, however, of these linkages depend on the specific implementation situation. The task for implementers is to identify the strength and influence of each factor to enhance the effectiveness of a particular implementation process.

In support of the 5 C protocol, Koontz and Newig (2014:419-420) identify a “top-down model of six factors linking policy to performance, including standards/objectives, resources, inter-organisational communications, characteristics of implementing agencies, economic/social/political conditions, and implementer character”. Implementation is observed to be more successful when policymakers understand the suitability of specific organisations or part of organisation in a network to perform certain tasks, the required resources to produce outputs and how the activities might affect the performance outputs. When implementation requires more than one agency or level of government it becomes even more complex. In such cross-organisational situations, inter-organisational trust, resources, communication and networking becomes key factors influencing the success of public policy implementation. The role of skilful leadership on the part of administrators conducting the implementation is critical. Skills are necessary to build support and trust, find mutual ground, and exchange to generate resources. Although attention to inter-organisational implementation moves research beyond a simple hierarchical implementation structure, it still assumes an authoritative policy directive or programme as the starting point. The array of interests is an organisational setting rather than individual citizens. In support of Koontz and Newig (2014:419-420), Cerna (2013:22-23)

identifies critical factors, after considering the differences in policy implementation across countries, which involves other actors, agencies and context. These factors identified by Cerna (2013:22-23) include the following:

- Policy standards and objectives (Content);
- Policy resources (Capacity);
- Inter-organisational communication and enforcement activities (Communication);
- Characteristics of implementing agencies, including the competence and size of an agency's staff, and degree of hierarchical control of processes within implementing agencies (Context);
- Economic, social and political conditions (Context); and
- Disposition of implementers, which concerns the motivation and attitudes of implementers (Commitment).

In support of the suggested time frames by Sabatier (1986:38) and in addition to the six critical factors for successful policy implementation, a time span of at least ten years is recommended. A longer time span should enable policy-oriented learning. Cerna (2013:24) concludes that policy implementation is characterised by complexity and argues that it is not possible to come up with a single or simple model for meeting all the challenges of implementation. A variety of policy implementation frameworks should be considered and combined according to requirements and policy area. It is proposed that a case-by-case approach might be necessary, as it is difficult to come up with a single theoretical model applicable to all areas and, country specific, levels of development. Policy implementation involves a multiplicity of actors contributing to public programme performance. Public management itself is often underemphasised as a contributor to policy implementation success in networks. Lester et al (1987:210-211) are of the opinion that researchers need to move away from a checklist of supposedly important factors for successful policy implementation towards a more systematic identification of a few independent factors that consistently explain implementation over time.

O'Toole and Meier (2010:324-325) incorporate three basic principles in a testable model for policy implementation in an organisational setting. These principles include:

- The creation of processes and operating procedures that reproduce the same outputs over time;
- The model is non-linear, meaning that factors interact in a multiplicative manner. At times it has a joint function and at other times terms add together and then interact with another factor to generate the overall impact on public programme performance; and
- Public sector management is dependent on a selection of other factors.

O'Toole and Meier (2010: 331) acknowledge that, despite the progress made with their research on the role of public management in the implementation of public programmes, they do not know nearly enough about how networks and networking shape performance. According to them management of networks for implementation merits substantially more attention and requires additional and other lines of research. In addition to O'Toole and Meier (2010:331), Klijn (2007:257-258) outlines a network as an analytical concept to make sense of the complex interaction in the policy environment. Networks further propose alternative ways of managing complex interaction between policy formulation, implementation or service delivery.

The 5C protocol is regarded as an encompassing framework for designing a more descriptive model to guide policy implementation analysis. Research has also shown that policy implementation forms part of a range of elements within a process. These elements need to be considered to understand the links between the sequence of activities. The activities of these elements might happen in sequence, simultaneously, across institutions or as stand-alone actions.

4.5. Determining the link between formulation and implementation

Bryner in Peters and Pierre (2007:190, 195) describes the traditional model of the policy making process as dynamic. Policy making is a complex analytical and political process to which there is no beginning or end. Cerna (2013:18) cautions that policy formulation could lead to policy manipulation at the central level. According to Bryner in Peters and Pierre (2007:190, 195) policy formulation is a continual process of identifying problems, formulating governmental responses or policies, organising administrative mechanisms for implementing policies and evaluating the success or failure. Unfortunately studies of specific policies almost always find that the failure to achieve policy goals is rooted in administrative failure. DeGroff and Cargo (2009:48) and Goel (2014:299) agree that the study of policy implementation is grounded in the disciplines of public sector management and policy science. It comprises well-defined linear steps, which if taken care of, should put in place a sound policy. The policy process has generally been conceptualised as:

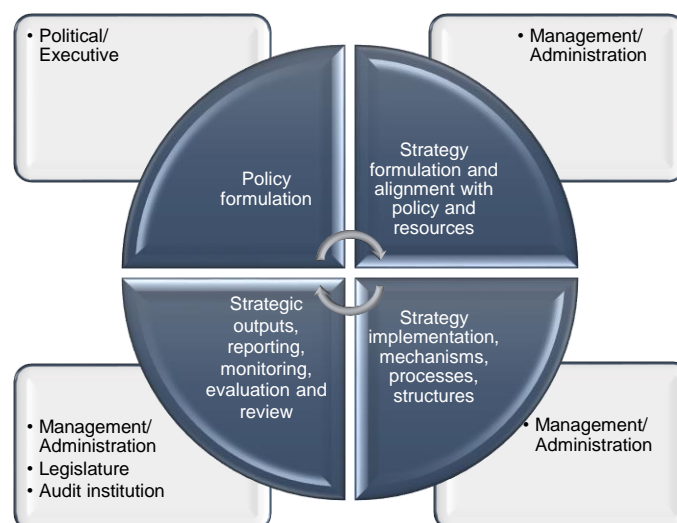
- Problem identification
- A selection of policy options
- Policy formulation
- Policy decision
- Resource commitment
- Policy implementation

- Evaluation
- Review, reassessment and rectification or termination

In support of Goel (2014:299) and DeGroff and Cargo (2009:48), Roux (2000:115-118) states that the policy process always begins with the identification of a problem. Problem identification, however, leads nowhere without the formulation of clear goals and objectives. Meyer and Cloete (2000:249-250) link the development of goals and objectives to policy formulation, which might result in policy failure when not properly developed. Defects in policy formulation include a lack of clear objectives and inaccurate targeting of policy programmes due to incorrect causal linkages. The entire policy system suffers from the incapacity to clearly formulate policy and transform policy intent into visible and durable policy outputs and outcomes. Minnaar (2010:19-20) agrees with Meyer and Cloete (2000:249-250) that the policy formulation process is goal driven. The ultimate aim is to deliver goods and services that represents outputs with measurable value. Measuring the outputs would ultimately determine the success or failure of government.

In addition to Meyer and Cloete (2000:249-250), Minnaar (2010:20) outlines the administrative process subsequent to the political and executive policy formulation and approval processes. The administrative process requires branches of government to formulate strategies and implement mechanisms, processes and structures to ensure that executive policies are appropriately filtered down to institutional levels, where activities are performed, and outputs and outcomes delivered that ultimately facilitate implementation and service delivery. Diagram 4.3 shows the linkages between policy formulation and policy implementation as broken down into strategies for implementation through administrative mechanisms, structures and processes. The final step in the policy process is reporting and evaluation of achievements.

Diagram 4.3: Linkages of executive policy formulation with the administrative and oversight processes



Source: Developed from Minnaar (2010:28)

Hill (2013:206) is of the view that academics neglected the study of policy implementation during the first half of the 20th century. During this period, academics focused on policy formulation, while leaving policy implementation to administrators. In addition to Hill (2013:206), Pressman and Wildavsky (2012:320) argue that the study of policy implementation requires the understanding of the sequence of events. This sequence of events depends on a complex chain of interaction between the links. Goel (2014:303) argues that policymaking takes a very rational linear approach to solve complex problems. On the surface policies might appear to be very well designed and articulated with forceful provisions to ensure effective implementation.

The review on the policy process introduces a new element, not previously discussed, in policy implementation research. This is the development of strategies and implementation plans subsequent to policy formulation. The argument is that the quality and causal linkages of the strategic concepts are just as important as they are for policy formulation. Strategy and the development of implementation plans including budgets form part of organisational concepts for public administration and management. Public administration involved in policy implementation includes governance, organisational structures, mechanisms, processes, relationships and oversight. The ultimate aim is to deliver goods and services that represent outputs with measurable value. Measuring the outputs would ultimately determine the success or failure of government.

4.6. Determining policy implementation success or failure

Bryner in Peters and Pierre (2007:191) is of the view that there are a great number of reasons why policy implementation is so complex. Reasons range from a lack of political will or agreement to inadequate funding. In addition to Bryner in Peters and Pierre (2007:191), Minnaar (2010:3) states that the governance function in public administration entails determining the strategic direction and supervising the execution of selected strategies to ensure that government policies are properly implemented. A concern raised by Hupe, Hill and Nangia (2014:146) is how explain policy implementation when comparative quantitative approaches are not possible. Their main issue is how the implementation of a single public policy 'top-down' could be analysed without adopting the discourse of 'success' or 'failure'.

DeGroff and Cargo (2009:55-56) explain that NPM emphasises performance, as measured through outcomes rather than outputs, as a means to evaluate management and policy effectiveness. Performance outcomes are typically defined by the executive/central government (top level) in consultation with state and local partners. The central formulation of outcomes has significant implications for strategy development and programming. For instance, programme managers must implement activities that ensure that targets are met on

performance indicators contributing to the outcomes. Performance measurement; therefore, offers an important tool for public service managers to encourage priority activities, monitor policy implementation and influence implementation behaviour. Wolk, Dholakia, and Kreitz (2009:1, 11) emphasise the importance of a performance measurement system, including performance audits, which is an independent and objective assessment of an entity's activities, processes, internal controls systems, governance and risk management, with regard to one or more of the three aspects of economy, efficiency and effectiveness, aiming to lead to improvements (as defined by the Spillane, 2018).

The view of Pressman and Wildavsky (2012:318) is that implementation constitutes the ability to achieve, subsequent to meeting the initial conditions. Legislation has to be passed and funds committed before implementation takes place to secure the predicted outcome of goals. Pressman and Wildavsky (2012:318-319) further emphasise the importance of the distinction between a programme and policy. Policies point to a chain of actions between initial conditions and future outcomes. Programmes, on the other hand, make the strategy operational by forging the first link in the causal chain connecting actions to objectives. When objectives are not realised, one explanation is a faulty link in the chain. McConnell (2010:350-357) views policy success as the achievement of policy goals and objectives. Other measures of success can be identified across the process, programme and political dimension of policy. Process success rests on the preservation of government's policy goals and mechanisms. Programme success occurs if the measure that government adopts can be captured within specific criteria, such as implementation, in a manner that produces the desired outcome. An example of a political success would be the outcome of policies that provide significant political benefits and no substantial problems to the enhancement of the reputation of the government, its leaders and its electoral prospects.

Policy failure, on the other hand, is the opposite of success. Wu, Ramesh, Howlett and Fritzen (2010:3-4) believe that policy failure results from fragmented elements in the policy process, which is due to the separation of administration from politics. This view on the separation between administration and politics has, however, been challenged by generations of scholars. The continuous pressure of these scholars influenced administrative practices, which led to some of the key reforms that introduced the decentralisation of public services, as discussed in chapter 3. The transfer of public responsibilities to private or non-profit organisations further promotes policy fragmentation. DeGroff and Cargo (2009:51) explain that, although a network of organisations represents a more appropriate structure for specific policy implementation, the implementation process and evaluation become more complicated given the interdependency among organisations. In particular, when longer-term outcomes reflect the actions of several institutions, it becomes difficult to identify the single contributions

of individual programmes. The expansion of programme theory through the use of logic models or evaluability assessments may help evaluators to clarify the causal relationships or mechanisms of change between specific activities and outcomes. It may also outline the unique, intended contributions of specific programmes. Key for analysts is to consider the causal effect between programmes and to include all activities in the analysis.

In addition to the above identified elements identified in the complex analytical policy process that could be the reason for policy success or failure, Rouban (2007:206) is concerned about the role of the political beliefs in the political life of a country and the management of the administration. Government will find it difficult to implement policies that run counter to the political convictions of civil servants even if they are called upon to work as impartial professionals. Joyce (2000:43 and 48) is of the view that senior managers in the public sector normally understand the importance of the electoral cycle and the accompanied swings in party politics. Senior managers often feel that politicians have a short term horizon due to the electoral cycle and have to remind politicians of policies made by politicians that might have accumulated over time.

4.6.1. Policy evaluation

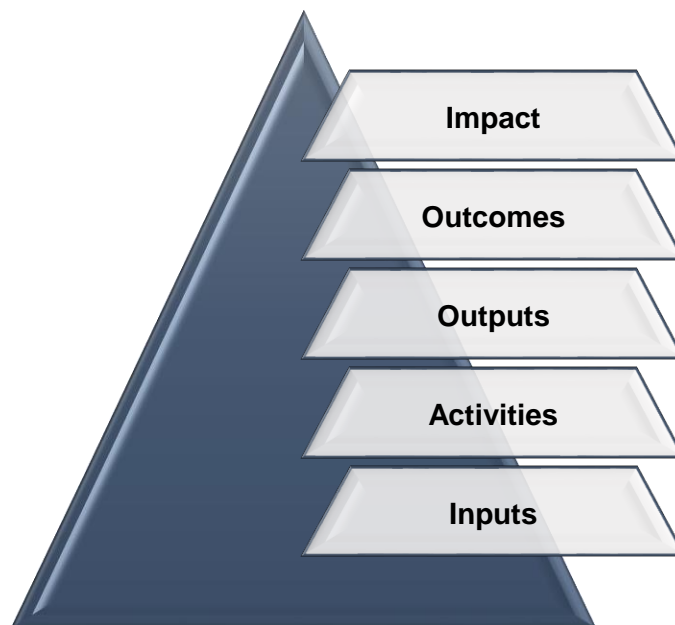
Cloete (2000:210-213) argues that policy evaluation or assessment is required to determine whether the goals and objectives have been achieved. In this context, policy evaluation refers to the measurement of performance. Evaluations could be focused on the performance of a specific programme or project to determine the successfulness of achieving the objectives of the programme or the impact of the project. The practical benefits of policy evaluation are that it can identify factors, in the three dimensions (process, programme and political), that influence policy implementation. The identification of these factors could assist policy planners and implementers to improve on the design, inputs, changing of processes or programme operations, measurement of outputs, and outcomes of different systematic activities within the mechanisms of policy implementation. In addition to Cloete (2000:210-213), Van Der Knaap (2006:281) argues that policy evaluation is the ambition of a learning government. When linked with learning, evaluation becomes a normative activity. The key question for ex-post evaluations is firstly to determine whether government has chosen the right activities to prove the effectiveness of policy measures. The second dimension of an evaluation relates to the implementation process. The focus is on the efficient operations of government. When policy programmes perform unsatisfactorily, a critical review of underlying assumptions and hypotheses must follow. This may lead to a refinement of the policy theories or the replacement or termination of the policy altogether.

Morra Imas and Rist (2009:108-109) draw a distinction between traditional monitoring and evaluation and results-based monitoring and evaluation. The traditional monitoring and evaluation focuses on inputs, activities and outputs on a programme or project level, while results-based monitoring and evaluation combines the elements of the traditional monitoring and evaluation of implementation with outcomes and impacts/results. This approach to monitoring implementation represents the theory of change, which enables the tracking of how and intervention is expected to lead to results. Some theory of change models also includes target groups, and internal and external factors.

Auriacombe (2011:37, 41-43) believes that the need for evaluation increases as democratic governance models are introduced. The need for evaluations is particularly true in transitional societies, such as South Africa, where new public management mechanisms or multi-level governance systems have been developed to replace old patterns of centralised service delivery. Public sector managers also realise the importance of policy evaluation to ensure good governance processes and outcomes. Policy implementation matters should be identified in an appropriate manner in order to ensure that government programmes address the challenges for successful implementation. Furthermore, implementation strategies and policy change programmes should be based on appropriate programme logic, to assist with effective policy implementation. The programme logic model is generally accepted as the most useful tool to unpack the practical implementation of the theory of change. According to Morra Imas and Rist (2009:109) the main links between the components are between inputs (resources that go into a programme or project), activities (what we do), outputs (tangible products or services produced), outcomes (the behavioural change that results from the outputs) and impact (long-term changes that result from an accumulation of outcomes).

The programme logic model adopted in South Africa is shown in diagram 4.4.

Diagram 4.4: Key performance information concepts



Source: Auriacombe (2011:43)

Hupe, Hill and Nangia (2014:148-149) are of the view that modern approaches to policy evaluation recognise that having multiple stakeholders or alternative ways of judging policy success implies a variety of, possibly conflicting criteria for evaluation. The essence of evaluation is making a value judgement of what should have happened. This judgement needs to follow a systematic approach, looking from the top, but without singling out a specific goal or output. It would be useful to analyse the implementation part of policy processes without inherently overlooking the top-down viewpoint. The view of Hupe, Hill and Nangia (2014:148-149) is that it is feasible to acknowledge the multi-dimensional character of public policy, addressing it in a qualitative systematic analysis, while avoiding evaluative and therefore premature qualifications in terms of success or failure. Hill and Hupe (2003:478, 485) emphasise the continuum between policy formulation and policy implementation. They, however, caution against the analysis of policy implementation on the wrong layer, within the context of the involvement of various layers of administration in the implementation of public policies.

The National Centre for Injury Prevention and Control (undated, page 3) found that specific criteria or standards may be established, in consultation with stakeholders, to assess policy implementation. The criteria should include standards for inputs, activities and outputs. Comparing the policy process to well-known standards can clarify discrepancies between planned and actual achievements, identify which components or features of implementation

are obstacles or catalysts for implementation or allow for comparisons between different levels and elements of evaluation.

Diagram 4.5 summarises the evaluation of the stages in the policy process. This is useful when considering the policy process and the complexities within the stages of the process, the caution against preliminary judgement of policy success or failure, and the importance of evaluating the entire process and different levels of implementation. Such evaluations could identify barriers to implementation within the entire policy process. The application of a logic model is advisable when policies, plans and programmes are developed or evaluated. Analysts should further consider the responsibilities of multi-level policy implementers when performing a context analysis or be cautious not to analyse policy implementation on the wrong layer.

Diagram 4.5: Measuring policy implementation



Source: Author (from literature reviewed)

McConnell (2014:2) argues that in reality the understanding of policy failure is somewhat of a puzzle. Researchers and policy analysts seem bedevilled by the lack of an accepted definition of policy failure or any degree of agreement on what causes such failure. A framework to help understand and assess the nature and causes of failure is required to assist researchers and analysts with support to governments throughout the world. Such a framework could assist in avoiding policy failures, which is a tricky issue for governments. It is exactly for this reason that the different approaches to policy implementation and the factors that influence successful policy implementation have been researched and discussed in this chapter. The discussions assist with the understanding of the factors influencing policy implementation and the sequence of events in the policy process. The discussions further highlight the importance of policy implementation analysis, specifically to determine the success or failure of policy implementation. To be able to address the need for assistance to understand and assess the nature and causes of policy failure, the next chapter continues the research on policy implementation and develops a theoretical framework that guided the development of a policy analysis model.

4.7. Summary

Policies direct the actions and decisions of public service officials, thereby providing the foundations for service delivery. To ensure effective and efficient service delivery it is important to establish the key factors influencing the success of policy implementation.

The discovery of policy implementation problems in the mid-1960s and early 1970s came as a surprise to planners and analysts. Since the dialogue on policy implementation started in the early 1970s, research has gone through three major phases, commonly referred to as the first, second and third generations of policy implementation research.

The first generation assumed that implementation would happen automatically once a policy had been approved. The most noteworthy achievement of the first generation of implementation studies was to raise awareness of the issues in the wider scholarly community and in the general public. The second generation of policy implementation research was marked by the emergence of the top-down and bottom-up approaches in the scholarly literature.

The top-down approaches to policy implementation are characterised by a focus on structuring programmes, policies or laws for the achievement of goals and objectives. The top-down approach assumes that policy is formulated at the top level of management or the executive. The policy is then translated into instructions for those who will implement policy at the bottom.

The criticism of the top-down implementation approach provided the basis for the development of the bottom-up approach, which highlighted the importance of street-level bureaucracy in the delivery of policy. Bottom-up enthusiasts also argued for the decentralisation (as promoted by the new public management approach) of the control of government programmes. The assessment of success or failure moved away from the determination of the meeting of objectives. Success or failure was determined by the capacity of policy implementers to influence the behaviour of target groups.

Researchers soon suggested a combined approach, which synthesised the factors influencing policy implementation of the top-down and bottom-up approaches.

The third generation of policy implementation research was marked by a change in the policy implementation research landscape. During the 1980s, the process of policy implementation was influenced by structural changes in public management. These structural changes included moving towards decentralisation, devolution of responsibilities, partnerships, and the restructuring of accountability in service delivery. The third generation of implementation research developed theoretical models by addressing the criticism of the top-down and bottom-up approaches. During this period, researchers refined the large number of factors,

from the second generation, into a manageable framework. From a survey of more than 300 empirical studies with hundreds of factors (with an assumed influence on policy implementation) five categories of factors, known as the 5C protocol, were identified. These categories should, nevertheless, not be seen as cast in stone.

The study of policy implementation is, however, grounded in the disciplines of public sector management and policy science. Policy implementation comprises well-defined linear steps, which if followed (in an ideal world, without economic, social or political interference), will lead to a sound policy being put in place and implemented.

The administrative process subsequent to the political and executive policy formulation and approval processes requires public administrators to formulate strategies, and implement mechanisms, processes and structures to ensure that executive policies are appropriately filtered down to institutional levels where activities are performed, and outputs and outcomes delivered that ultimately facilitate implementation and service delivery. The final step in the policy process is reporting and the evaluation of achievements.

Researchers and policy analysts seem unhappy by the lack of an accepted definition of policy failure or any degree of agreement on what causes such failure. A framework to help understand and assess the nature and causes of failure is required to assist researchers and analysts to support governments globally. The support should assist to avoid policy failures, which is a complicated issue for governments. It is exactly for this reason why the different approaches to policy implementation and the factors that influence successful policy implementation have been researched and discussed in this chapter. The discussions assisted with the understanding of the sequence of events in the policy process and highlight the importance of policy implementation analysis, in specific, to determine the success or failure of policy implementation. The next chapter, therefore, continues the research on policy implementation analysis and develops a theoretical framework that guided the development of a policy analysis model.

CHAPTER 5: DEVELOPING A MODEL FOR ASSESSING POLICY IMPLEMENTATION IN THE PUBLIC SECTOR

5.1. Introduction

Chapter 5 builds on the literature review of the previous two chapters, which focused on mechanisms for policy implementation (on an operational level) and factors that contribute to policy success or failure (on a political, technical and operational level). The objectives of chapter 5 are firstly to synthesise the mechanisms and factors that influence policy implementation into a theoretical framework and secondly to develop a practical analytical model guiding analysts to assess policy implementation. The theoretical framework is based on earlier models, frameworks, mechanisms and conditions for policy implementation.

In chapter 3 it was stated that countries implemented various public sector reforms to improve efficiency and effectiveness of the public sector. Since mid-1990 an explosion of performance-based budget reforms has occurred globally. The focus has shifted to a performance management system as a whole, which allows for linking policymaking with budgeting and the measurement of results.

Chapter 4 discussed studies of policy implementation development over time. Since the first two generations of policy implementation research, progress towards a more rigorous scientific third generation research paradigm was made. Implementation researchers further tended to split into two different schools of thought (top-down and bottom-up) related to the study of policy implementation. The two different schools of thought triggered the third generation of implementation research towards further theoretical progress. Key elements in the third generation research paradigm are, among others:

- Clearly defined factors influencing policy implementation
- Practical analysis guided by theoretical models

This chapter builds on the public sector management mechanisms discussed in chapter 3 and the main categories of factors for successful policy implementation discussed in chapter 4. Some of the earlier models and frameworks are presented for successful policy implementation. These frameworks represent some of the factors outlined in chapter 4. It also shows the interlinkages of these factors influencing policy implementation. An assessment of earlier models against a theoretical framework provided by the 5C protocol (see chapter 4: five categories of factors identified from a survey of more than 300 empirical studies) identifies the defining characteristics of a model as well as its comprehensiveness and practical application. The chapter ends with combining elements of public sector performance

management mechanisms and factors influencing policy implementation into a concise model for policy implementation analysis.

5.2. Policy implementation theory, models and frameworks

According to Crockett (2017:1), a theory seeks to both describe and explain. It is complex, but testable. A theory should assist in predicting and examining which factors influence an outcome. A model and a framework describe but do not explain. A model is commonly used to describe, or even simplify, the process of translating research into practice. A framework describes factors believed to influence an outcome. It provides a big picture overview of various descriptive categories and how they might relate to each other.

According to Nilsen (2015:11) research has shown that various implementation challenges could be addressed by the use of theoretical approaches. The list of options for potentially useable theories, models and frameworks is broad. Researchers in the policy implementation field have practically considered other fields and disciplines to find relevant approaches. This phenomenon emphasises the interdisciplinary and multi-professional nature of the policy implementation field. Nilsen (2015:11) is of the view that it seems unlikely that there will ever be a grand implementation theory. Policy implementation is too complex to allow for universal explanations". The combining of multiple theoretical approaches may offer a more comprehensive description and understanding. Nilsen (2015:11) cautions that the combination of theoretical approaches may mask contrasting assumptions regarding key implementation challenges.

Implementation researchers are, nevertheless, optimistic in that using theoretical approaches will contribute to reducing the implementation research–practice gap. It is also important to explore how the current theoretical approaches can further be developed to better address implementation challenges.

5.2.1. Policy implementation theory

From decades of implementation research, Cerna (2013:24) finds that the direction of change in policy implementation research is non-linear and the trend is towards a multi-theoretical approach. The changes in policy implementation research occurred due to dynamic interactive processes, rather than a centrally determined framework. According to Cerna (2013:24) numerous implementation theories are combined for specific policy areas and context in order to draw on the strengths of each theory. Previously, top-down and bottom-up approaches were regarded as contrasting to each other, but more recent research combines the two approaches

and differentiate implementation strategies rather by policy area, context, leadership, stakeholders and organisational capability.

O'Toole (2004:326-327) suggests a carefully optimistic response to the theory–practice challenge for policy implementation. O'Toole is not convinced that there have been striking successes in finding ways of linking theoretical efforts with practical advice. It is, however, possible to identify mechanisms that can help to contribute to the effectiveness of practical implementation action. Drawing from emerging ideas built on a synthesis of partial perspectives is ultimately likely to be the most useful approach. New methodological tools can help select practices that can be applied in policy implementation.

5.2.2. Policy implementation models and frameworks

Cerna (2013:24) argues that it is difficult to come up with a single or simple model for meeting the challenges of the complexity of policy implementation. The variety of existing policy implementation frameworks should, however, be taken advantage of. These frameworks could be combined using a case-by-case approach. According to Pülzl and Treib (2007:89) and Conteh (2011:124), the third generation of implementation researchers attempt to develop theoretical frameworks with a more scientific approach. The third generation researchers have also refined a large number of factors from the second generation into manageable frameworks.

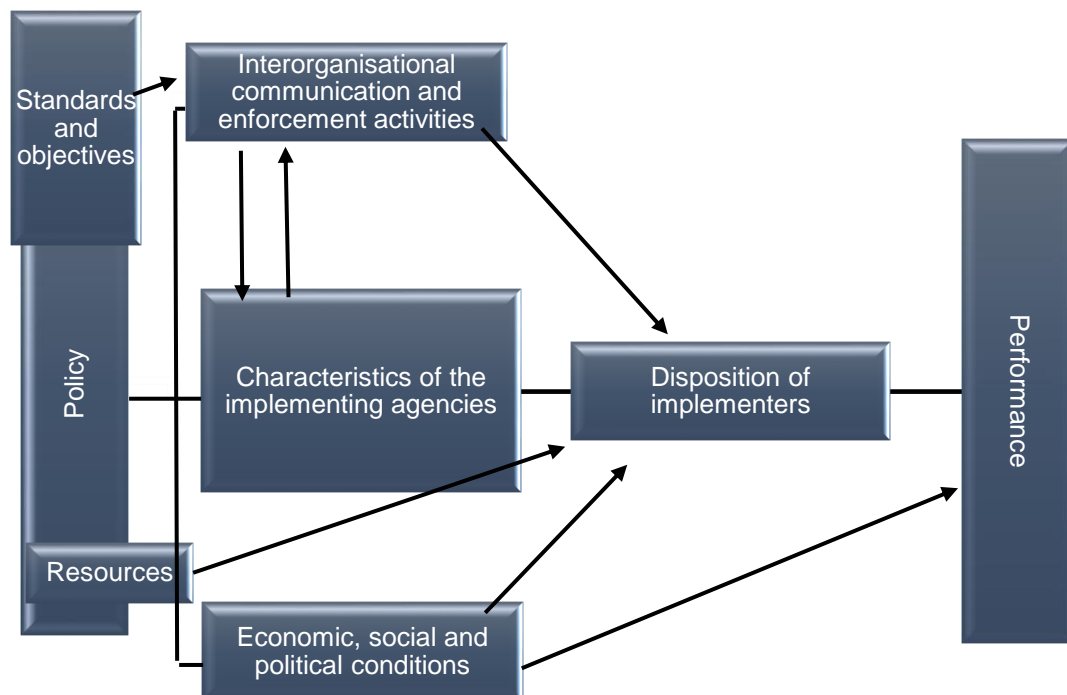
5.2.2.1. Models and frameworks focused on multiple factors

Lester, Bowman, Goggin and O'Toole (1987:202-203) outline some of the policy implementation models and frameworks developed between 1975 and 1980. These models and frameworks identify factors that contribute to the realisation or non-realisation of policy objectives. The initiatives are broadly classified into the top-down and bottom-up approaches. The first top-down effort was undertaken by Van Meter and Van Horn (1975), consisting of six clusters of factors and how the linkages between them shape policy and performance (see diagram 5.1). The six clusters of factors are:

- “The relevance of policy standards and objectives (content);
- Policy resources (capacity);
- Inter-organisational communication and enforcement activities (client and coalition and communication);
- The characteristics of the implementing agencies (internal environment/context);
- The economic, social and political environment affecting the implementing jurisdiction or organisation (external environment/context); and

- The disposition of implementers for carrying out policy decisions (commitment)".

Diagram 5.1: Van Meter and Van Horn's (1975) framework for the policy implementation process



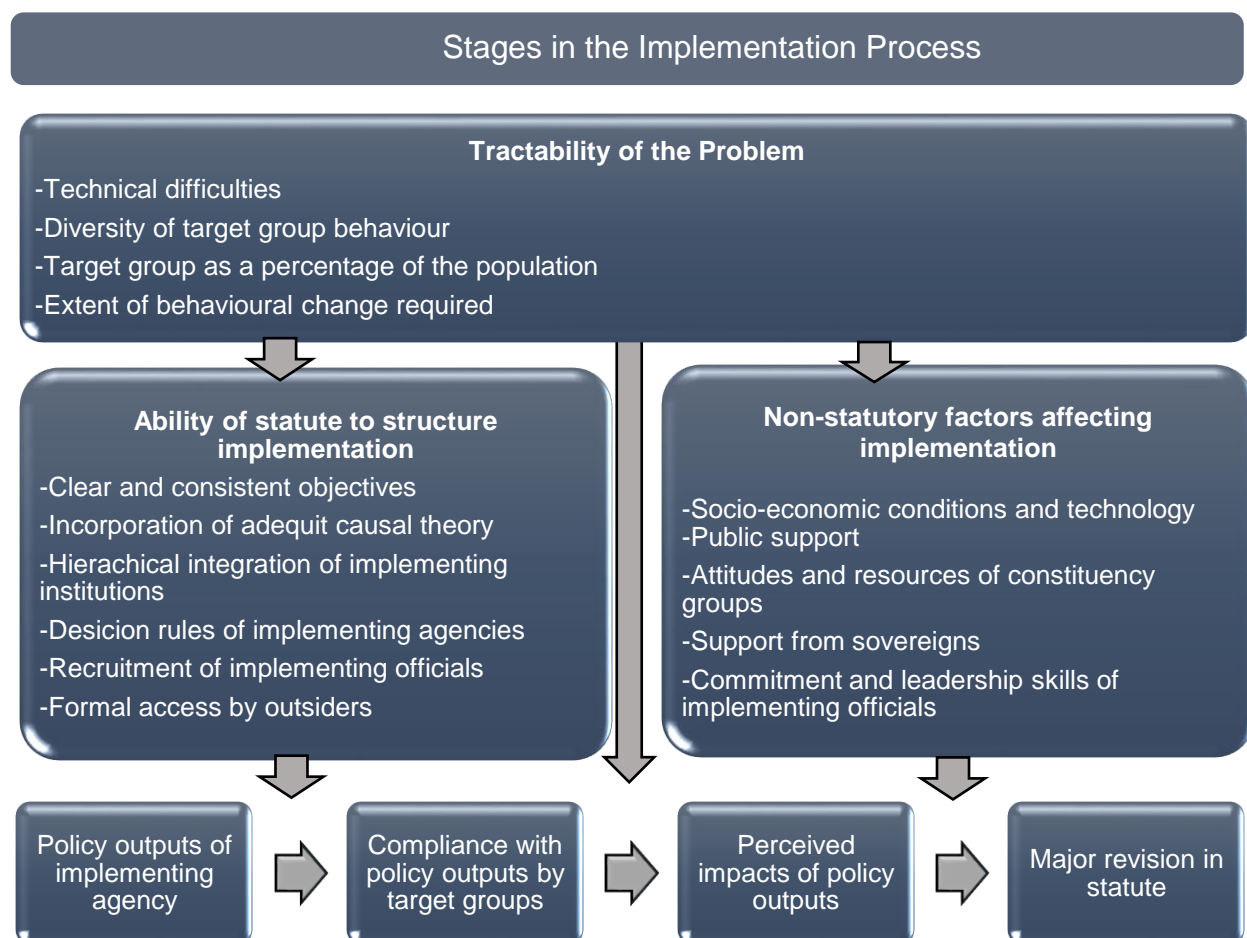
Source: Lester, Bowman, Goggin and O'Toole (1987:202)

According to Najam (1995:16), Van Meter and Van Horn (1975) started with the assumption that subordinates do not know what their superiors want, they cannot do what their superiors want, or they refuse to do what their superiors want as the three causes of non-implementation. Van Meter and Van Horn labelled these as problems of communication, capacity and implementer disposition (commitment). Van Meter and Van Horn further believed that the nature of the policy itself is critical to the success of implementation.

The six clusters of factors identified by Van Meter and Van Horn (1975) were linked to the 5C protocol (in brackets with bullets above), as discussed in chapter 4. This ability to link the clusters to the 5Cs, shows that Van Meter and Van Horn's (1975) framework is based on the categories of the 5C protocol. In short, the framework shows that a policy would be implemented if the content adheres to standards, if capacity is provided, if communication happens between clients and coalitions and the implementing agencies, if the internal and external context is favourable, and if staff are committed. The framework provides a big picture overview of various descriptive categories and how they might relate to one another. The view, however, is that a theoretical background of the policy process would be required to apply this framework in policy implementation analysis.

In diagram 5.2 Najam (1995:17) outlines one of the most influential articulations of the top-down perspective, by Mazmanian and Sabatier (1983). “The model begins with three critical observations: a) policymaking is an interactive process of formulation, implementation and reformulation and the distinction between the three should be maintained; b) the focus should be on the stated policy goals, although the outputs of the implementation agencies and the outcomes of the implementation process are both important; c) implementation can be viewed from three quite different perspectives; the initial policymaker, the field-level implementing [officials]” and the actors at whom the programme is directed. A centre-focused perspective to implementation is, however, preferred. Mazmanian and Sabatier list a total of 16 factors, clustered into three broad categories: a) “tractability of the problems; b) ability of policy decision to structure implementation; and c) non-statutory factors affecting implementation”. The 16 factors were listed in searching for a shorter list of key factors that affect implementation. Diagram 5.2 shows the 16 factors identified by Mazmanian and Sabatier (1983) categorised within the broader categories.

Diagram 5.2: Mazmanian and Sabatier's (1983) factors involved in the implementation process



Source: Najam (1995:17)

The purpose was to identify key factors that affect policy implementation and not to function as a framework or model for policy analysis. Sabatier (1986:23) then synthesised this set of factors into a shorter list of six conditions for the effective implementation of legal objectives:

- “Clear and consistent objectives (content)
- Adequate causal theory;
- Legal structure to enhance compliance by implementing officials and target groups (context);
- Committed and skilful implementing officials (commitment and capacity);
- Support of interest groups and sovereigns (client and coalition); and
- Changes in socio-economic conditions that do not substantially undermine political support or causal theory (context)”.

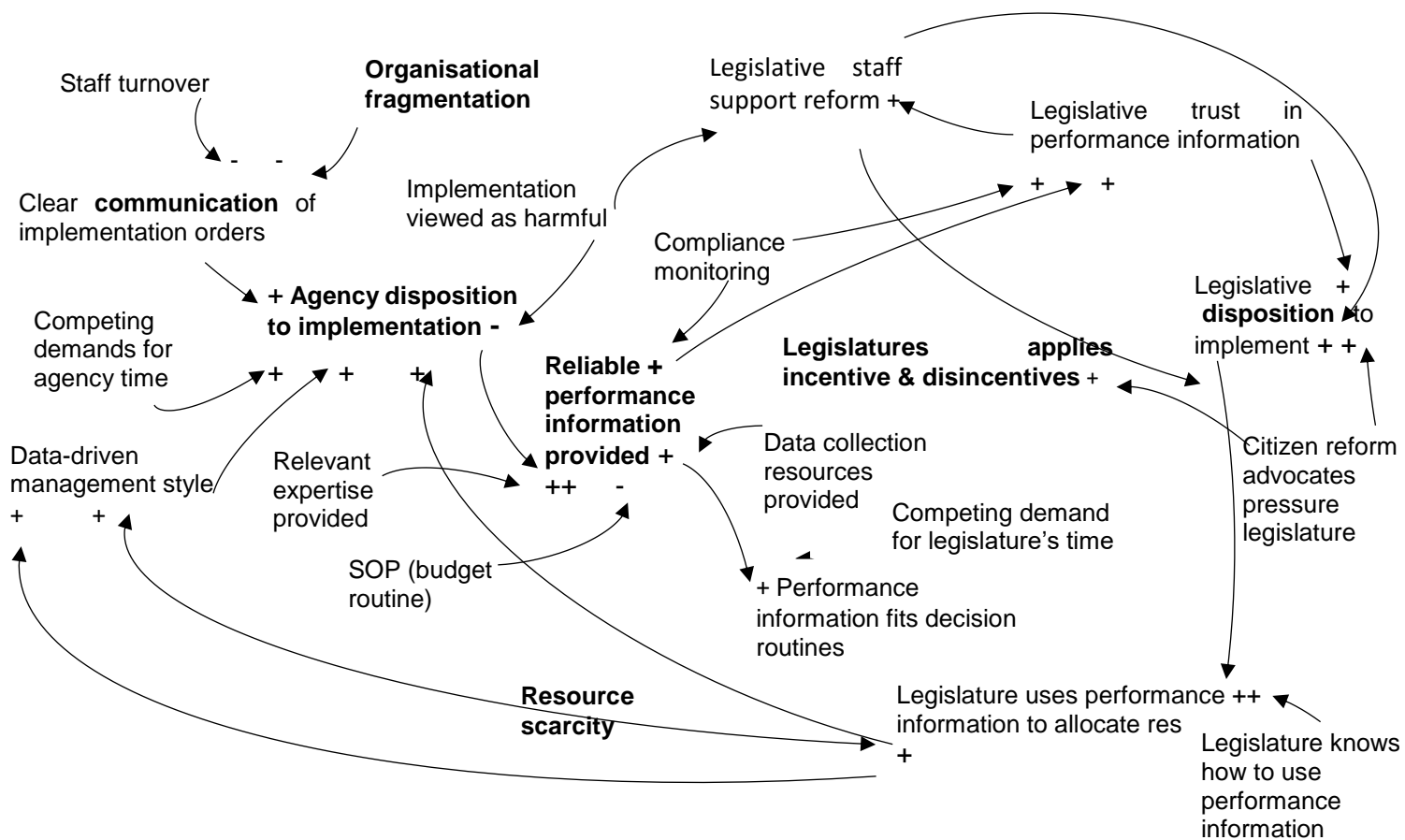
The six conditions for policy implementation identified by Sabatier (1986) were also categorised into the categories of the 5C protocol. The categories could be linked to content, commitment, client and coalition, and context. In addition to the categories of the 5C protocol, Sabatier (1986) also regards adequate causal theory and compliance to a legal structure as key factors. In terms of monitoring and evaluation, the perceived impact of policy outputs refers to the effect on the external environment, which is an indication of the effectiveness of the policy. This is also proof of the centre-focus of the model, which does not consider factors to determine efficiency, which requires a more holistic approach, such as the inclusion of funding.

According to Lester et al (1987:203-205), another top-down model was developed by George Edwards (1980) consisting of four categories of factors that he believes affect implementation. These factors are:

- Communication
- Resources (capacity)
- Disposition of policy implementers (commitment)
- Bureaucratic structure (context)

Diagram 5.3, from Grizzle and Pettijohn (2002:52-53), demonstrates the model developed by Edwards (1980) based on the four categories. The model is in the form of a causal loop diagram. A plus sign at the head of an arrow means that any change in the factor at the foot of the arrow will result in a positive change in the factor at the head of the arrow. A minus shows a negative change.

Diagram 5.3: Edwards' (1980) policy implementation model



Source: Grizzle and Pettijohn (2002:53)

The four main categories of factors presented in the Edwards (1980) policy implementation model are reconcilable with the communication, capacity, commitment and context categories of the 5C protocol. The model is, however, silent on content, but includes factors of control.

To get an understanding of possible gaps and overlaps between the models/frameworks, table 5.1 summarises factors presented in the models/frameworks within the categories of the 5C protocol. Communication (6thC of the 5C protocol), compliance, performance monitoring and causal theory have been added to the 5Cs in terms of additional factors presented within the individual models and frameworks, the theoretical findings within the policy process and the measuring of policy implementation discussion in chapter 4.

Table 5.1: Comparison of models and frameworks with the 5C protocol and others

5C protocol categories	Van Meter and Van Horn Framework	Mazmanian and Sabatier Model	Edwards Model
Content	✓	✓	
Capacity	✓	✓	✓
Communication	✓		✓
Context	✓	✓	
Commitment	✓	✓	✓
Client and coalition	✓	✓	
Compliance	✓	✓	✓
Performance Monitoring or Control	✓	✓	✓
Causal Theory		✓	

Source: Author, compiled from text

Table 5.1 shows that Van Meter and Van Horn's framework includes all the categories except causal theory. Mazmanian and Sabatier included causal theory, while the model excludes communication. The Edwards model excludes content, context, client and coalition and causal theory.

5.2.2.2. Models focused on a single factor

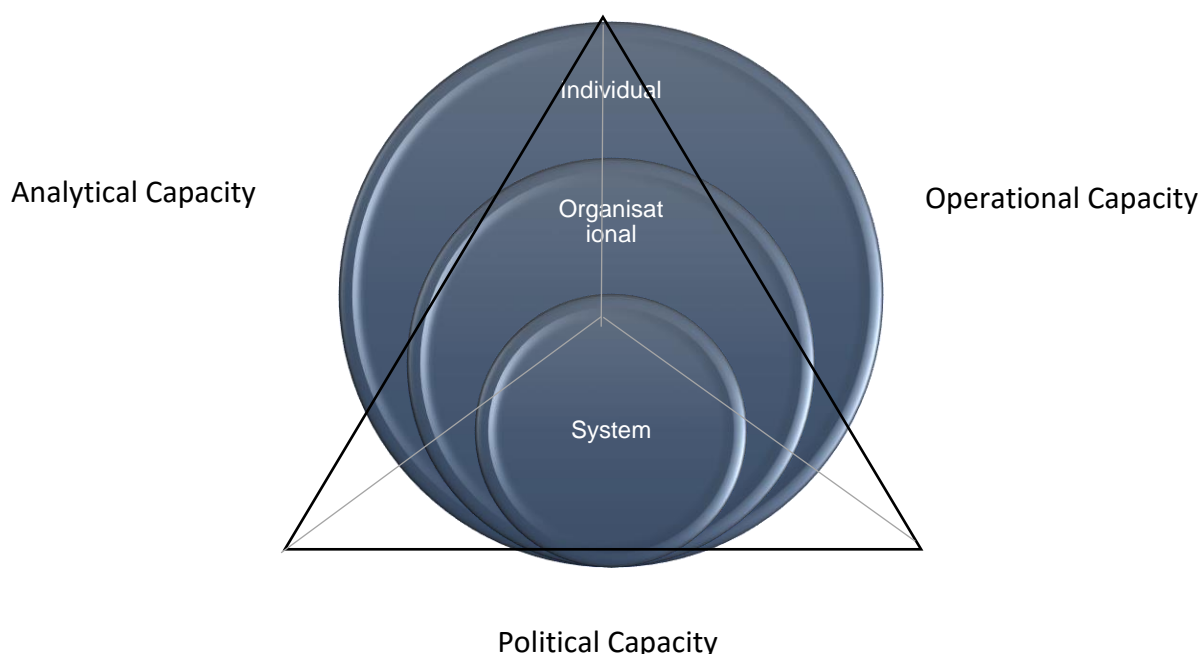
Roux (2002:418) argues that public sector institutions require the capacity to effectively formulate policies and continuously analyse such policies to render quality services to the public.

An emerging idea from Wu, Ramesh and Howlett (2015:165) is that policy capacity is a major concern as the public sector is required to increasingly address complex challenges. The increasing complexity of many policy challenges coupled with rising expectations of the public and the capacity of governments to formulate and implement policies effectively. Wu, Ramesh and Howlett (2015:165-166) not only introduce policy capacity in theory, but also developed a framework for analysing policy capacity (see diagram 5.4).

The theory and conceptual framework focuses on policy capacity. It has been developed as a diagnostic tool for identifying capacity gaps within policymaking. It defines policy capacity as a required set of skills and resources or competencies and capabilities to perform policy functions. Key skills or competences which comprise policy capacity can be categorised into

analytical, operational and political competencies. Each of these three competences involves resources or capabilities at an individual, organisational, and systemic level. The three categories of competences on the three different levels generate nine basic types of policy-relevant capacities. The framework of policy capacity is shown in diagram 5.4.

Diagram 5.4: A nested model of policy capacity



Source: Wu, Ramesh and Howlett (2015:168), adapted

The nested model of policy capacity developed by Wu, Ramesh and Howlett (2015:168) illustrates the nine basic types of policy-relevant capacities without any indications of knowledge, mechanisms or tools required to conduct the various tasks within the nine policy-relevant capacities. The fact that capacity is required on a political, analytical and operational level is acknowledged and supported. The nested model on its own, however, does not describe the process of translating research into practice. The nested model rather describes a factor (with different implications), on different levels, believed to influence an outcome. This model would therefore not be suitable to determine the success of policy implementation without defining the different levels of capacity. The perception is that the conceptual framework for understanding policy competences and capabilities developed by Wu, Ramesh and Howlett (2015:165-170) would be more useful in policymaking analysis.

Lester et al (1987:207) describe a model developed by Goggin et al (1987), who argue that state implementation is a function of constraints on the state, choices and behaviour of implementers, and the state's capacity to act. This Conceptual Model of Intergovernmental Policy Implementation is an example of a big picture overview of various descriptive categories

and how they might relate to one another to influence an outcome. The model mainly shows that, given the capacity, government responds to constraints by implementing state decisions. Key factors such as content, context, commitment, client and coalition, as well as control are not addressed within this model.

The models focusing on capacity are not necessarily considered as substantial enough to assist policy implementation analysis. These single focus models were added to the discussion due to the perception of the importance of capacity as a driver in implementation.

The reason for developing a model or framework for policy analysis is, however, to develop a systematic process to assess the success or failure of a policy in an effective and efficient manner. The ultimate aim is to ensure that government makes effective policies and implements them successfully in an efficient/cost-effective manner. From the literature it is clear that researchers should approach policy implementation from a more holistic, whole-of-government viewpoint.

The models and frameworks explored above mainly concentrate on categories of factors and do not necessary provide a whole-of-government view. To be able to consider a holistic view of the policy process, the following section explores the mechanisms available in government for policy implementation.

5.3. Administrative mechanisms for policy implementation

According to Minnaar (2010:15), public sector institutions exist to implement government policy. In a democratic political dispensation, public policymaking flows from a political process, which is then translated into enforceable government programmes. Government institutions formulate strategies as performance drivers to direct institutional activities and outputs, which ultimately become the performance indicators. It is, however, required that all government activities reflect the objectives of government policies.

Performance budgeting and management was introduced in chapter 3 as part of the discussion on public sector reforms and mechanisms for successful policy implementation. Sterck and Scheers (2006:51-52) argue that reforms were driven by the need for increased accountability on different levels of government, policymaking, policy coordination, information sharing, transparency and a better link between the budget process and the strategic management system. By the end of the 1990s, the attention shifted towards result-oriented management and budgeting. This shift in management and budgeting came with the introduction of the performance management and budgeting system. Thomas (2011:2) outlines a framework consisting of five components for public sector management as planning, budgeting, implementation, monitoring and evaluation. On a country-level, public sector

management and planning can be represented by the national plan (which informs all other plans of government), budgeting by the national budget, implementation by budget execution and service delivery. Monitoring and evaluation refers to specific role-players responsible for checking performance against indicators and targets.

Diagram 5.5 shows the elements of a results-based public sector management framework on a country-level. In addition to these elements, the framework recognises the important role of the enabling environment, including senior leadership support, a results-oriented organisational culture and management practices, and careful management of changing processes, along with private sector and civil society support. The success of the public sector management system depends on the elements thereof. If these elements are in place it can reform the environment or context through mechanisms that assist with the mobilisation and engagement of stakeholders, ensure the achievement of results, sustain reforms and provide an entry point for future initiatives.

Diagram 5.5: Elements of Public Sector Management



Source: Adapted from Thomas (2011:2)

In addition to Thomas (2011:2), Arizti, Brumby, Manning, Senderowitsch and Thomas (eds.) (2010:15) argue that the objective of performance budgeting and management is to improve the quality of public services by:

- Allocating resources consistent with political and social goals;
- Improving the efficiency, economy and effectiveness in the use of funds; and
- Increasing accountability.

Therefore, there is an increasing focus on what the public sector is accomplishing with the resources provided. Performance budgeting and management promotes the use of information to improve decisions and service delivery. This requires the use of performance

information to underpin the phases of the budget management cycle. These phases include the preparation of strategic plans and budgets, the approval of the budget, implementation of the budget and plans, reporting on budgets and plans, monitoring, reviewing, evaluation and auditing of budgets and plans. Sterck and Scheers (2006:51) agree that every budget system contains planning, management and control features. The objective of results-oriented budget reforms, however, is to make government more effective and efficient.

5.3.1. Results-oriented budgeting

Young (2003:17-18) views the combination of performance-based budgeting (PBB) with strategic planning methodologies, as a powerful and advantageous decision-making tool. Currently, many countries are using PBB systems along with strategic planning. These countries also acknowledge that the two mechanisms applied together are a logical and practical fit. Strategic planning is a process of developing long-term plans to guide an organisation, for example, entities, departments or commissions, towards clearly articulated outcomes, goals and objectives. Performance-based budgeting emphasises a critical, additional step of measuring progress on performance, both in terms of expenditure and outputs.

In addition to the views on PBB, Curristine (2006:149) believes that departmental management processes, and parliamentary and public accountability are central to the performance of government. In addition to Curristine (2006:149), Cloete (2000:210-213) emphasises that policy monitoring and evaluation, as part of PBB, is required to determine performance. The practical benefits of policy monitoring and evaluation are that it can identify factors in the three dimensions (political, programme and process/mechanism) that influence policy implementation. The identification of these factors could assist policy planners and implementers to improve on the design, inputs, changing of processes or programme operations, outputs and outcomes of different systematic activities within the mechanisms of policy implementation.

5.3.1.1. Planning for results

According to Minnaar (2010:20), the administrative process requires branches of government to formulate strategies, allocate funding, implement mechanisms, processes and structures to ensure that executive policies are appropriately filtered down to institutional levels. Institutions perform activities, and deliver outputs and outcomes that ultimately facilitate policy implementation and service delivery.

Young (2003:17-18) states that many governments recognise the logical and practical fit of a PBB system with strategic planning. Strategic planning, in this context, is a formal process to determine where an organisation is and where it should be in future. Some of the steps that are involved in a strategic planning process include:

- The development of strategic goals, - objectives, performance indicators and targets to measure organisational progress [in line with national policies];
- The development and implementation of detailed operational plans; and
- Reporting, monitoring and evaluation components to monitor and revise the overall strategic approach as it unfolds.

Hupe (2011:63) argues that the challenge is to secure the links in the causal chain to obtain the desired results. Leonard (2008:2-3) explains the causal chain in the context of managing for results or performance-based management. This causal chain starts with making the expected outputs clear before the policy, programme or project is introduced. A logical framework for the achievement of results needs to be clearly described in terms of outputs to be produced, the outcomes that are the direct result of having produced the outputs, and the broader impacts on society to which the project, programme or policy will contribute. The main reason for breaking outputs down into this hierarchy is to account for differences in timing, measurability and acknowledgement. Measurable targets and indicators are set and baseline values determined at each step. Additional steps are to:

- Describe the data sources that will produce the required information for monitoring the achievement of results
- Examine the assumptions and risks that exist in the programme logic of outputs leading to outcomes and impacts

According to Leonard (2008:3), monitoring activities include the tracking of targets and indicators as a means of determining progress towards achieving the expected outcomes. It is also necessary to monitor whether the programme logic norms are followed. Evaluation goes beyond monitoring. It determines why results were or were not achieved, and identifies good practices and lessons for the future.

Performance management involves the utilisation of performance information collected by the system. Managing for results, however, expands on this involvement by explaining the utilisation of the information, in specific to improve decision-making, budget allocations and to steer country-led development processes toward clearly defined goals.

5.3.1.2. Budgeting for results

Sterck and Scheers (2006:51) argue that in addition to the planning, management and control features, a budget system has expenditure features such as the imposition of aggregate fiscal discipline, the facilitation of strategic priority funding across programmes and projects, and the encouragement of technical efficiency in the use of resources. To improve effectiveness and efficiency governments need to introduce modern management and policymaking concepts into government. In support of Sterck and Scheers (2006:51) Shah and Shen (2007:145-152) note that effective and efficient budgeting, in terms of results orientation, requires:

- The prioritisation of resource allocations from the items of expenditure to public programmes that are designed to serve the strategic goals and objectives of government
- A consistent performance measurement and reporting system to ensure a channel for public officials to reach agreement on programme goals and objectives and to discuss and compromise on a selection of performance measures
- A managerial strategy for performance. Performance management is therefore a requirement for successful performance budgeting.

Experiences of performance budgeting outlined by Shah and Shen (2007:152) show that performance budgeting enhances communication between budget actors, improves public management in terms of efficiency and effectiveness, facilitates more informed budgetary decision-making and achieves transparency of and accountability for government activities. In addition to Shah and Shen (2007:152), Robinson (2014:9) states that performance budgeting integrates performance information into budgeting by using it to link funding to outcomes (goals and objectives) and outputs, with the aim of improving performance.

Thomas (2011:2-3) believes that performance management in the public sector requires core results aspects, a focus on common results, interdependency, and vertical and horizontal integration. Programme performance budgeting, as an element of performance management and the most widespread form of performance budgeting, provides a framework that supports the alignment of the budget with policy outcomes as well as the management structures to implement the budget and plans. Robinson (2014:9-10) views programme budgeting as the form of performance budgeting most applicable to government budgets. Programme budgeting conditions aim to structure the budget in such a way that it facilitates expenditure towards policy priorities. It further increases pressure on ministries and agencies to improve the effectiveness and efficiency of expenditures. The basis of programme budgeting is the programme classification of expenditures and performance. The classification is primarily according to public policy objectives and types of services to which funds are directed. The

opinion is that, if this classification and funding could be done correctly, it should contribute to successful policy implementation. An understanding of Robinson's (2014:9-10) explanation is shown in diagram 5.6.

Diagram 5.6: Programme performance budgeting hierarchy



Source: Author from Robinson, 2014:9-10

According to Robinson (2014:9-10), other forms of budgeting include output-based and target-based budgeting, which link the level of funding to the quantity of outputs using unit costs and targets, respectively, to determine efficiency. Budget decision-makers, however, face a range of problems in seeking to improve the prioritisation of expenditure and promoting effectiveness and efficiency. In addition to the challenge of expenditure prioritisation, a lack of information tends to be a major part of the problem and is at the heart of performance budgeting. In support of Robinson (2014:9-10), Leonard (2008:3) argues that the success of a performance-based public management system is determined by the use of data provided by performance measurement to improve decision-making and steer country-led development processes.

5.3.1.3. Performance information, monitoring and evaluation

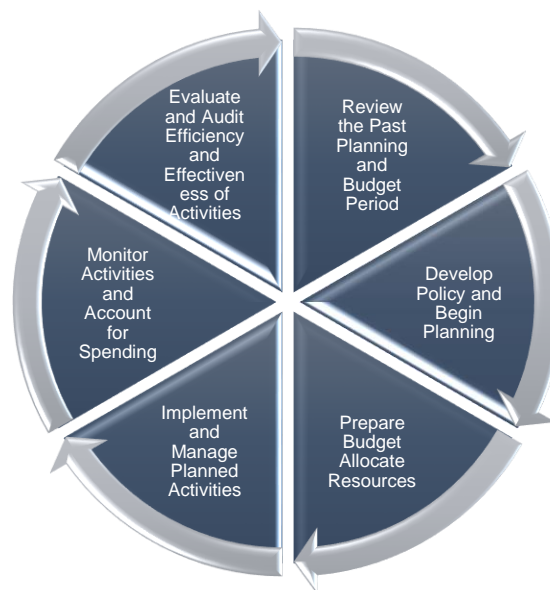
Andrews (2018:3) believes that it is not easy to answer the question of why public policies fail. It is an important question, nevertheless, because public policy results matter. The world is in trouble if public policies targeting market failures and addressing society's needs for goods and services fail routinely. One should be aware if this is the case. A high rate of policy failure would mean the wasting of limited resources. Governments seldom provide data one can use to assess overall policy success or failure. In cases where performance budgeting systems have been implemented, governments produce performance data for their interventions.

In addition to the data challenge highlighted by Andrews (2018:3), Ramos (2000:4, 8) argues that without the information to develop plans it is impossible to manage any institution, evaluate alternatives, and where necessary, to institute corrective action. Usually, managers in government have paid too little attention to receiving and acting upon accurate and up-to-date data with the result that accountability has been undermined. An accounting officer must

develop and submit a variety of accountability documents and progress reports focusing on performance against budget and against service delivery plans (monthly, quarterly and at year-end) to the relevant oversight bodies for monitoring and evaluation (M&E).

Mackay in Lopez-Acevedo, Krause, and Mackay (eds.) (2012:22-24) explains the potential contribution of M&E in terms of the different parts of the policy implementation process. Diagram 5.7. shows the stages of the policy implementation process.

Diagram 5.7: Policy implementation process: policy review, development, budgeting, management and M&E



Source: Lopez-Acevedo, Krause, and Mackay (eds) (2012:23)

The early stages of policy implementation, such as reviewing, developing, prioritising and strategising, benefit from evidence of what has or has not worked in the past; in other words, evidence-based policymaking. This stage also includes the setting of performance targets. The monitoring of progress made towards achieving these targets are also an important part of government's planning and policy reviewing process.

Monitoring and evaluation of information, especially evaluation findings that explain past performance, helps to guide government decisions for adopting the most cost-effective policies and programmes in the annual budget. During the implementation stage, ongoing monitoring of activities (including spending, processes, outputs, outcomes, and impacts) is important to identify good, bad and promising practices. Evaluations or reviews and audits assist with identifying the reasons for good or bad performance. In the final stages of the policy cycle, monitoring and evaluation demonstrates the extent to which the government has achieved its objectives and provides the evidence needed to ensure strong government accountability to the legislature and civil society. Van der Knaap (2006: 281) concludes that

policy evaluation contributes to accountability and supports learning on the basis of information on government efficiency and policy effectiveness.

In support of Mackay in Lopez-Acevedo, Krause, and Mackay (eds.) (2012:22-24) and Van der Knaap (2006: 281), Robinson (2014:11-12) outlines the main categories of evaluations, which determine the worth or significance of an activity, policy or programme systematically and objectively. These evaluations are also relevant for budgeting decisions and are defined as follows:

- Outcome evaluations: Ascertain the extent to which a programme or project's intended outcomes have been achieved;
- Process evaluations: Identify policy design or management changes that would improve the effectiveness of programmes and frequently also address efficiency challenges
- Ex ante evaluations are carried out before the programme or project concerned has actually been implemented.

In addition to the above mentioned evaluations, programme logic analysis is performed in terms of relevant theory and experience. Programme logic analysis aims to determine the probability of a programme to achieve the outcomes. The starting point of programme logic analysis is the description of the causal links by which programme outputs are expected to generate intermediate programme outcomes/objectives and, through that, higher-level outcomes.

The elements of performance management and budgeting jointly contribute to successful policy implementation. They further contribute to expenditure prioritisation, effectiveness of policy-linked programmes and the availability and use of performance information that promotes budget efficiency. Each element within the performance management mechanism, however, consists of complex processes, of which all contribute to successful policy implementation. The analysis and evaluation of policies are, therefore, just as complex as the mechanisms, elements and processes involved in the policy cycle. Research, however, continuously attempts to assist analysts with the development of models and frameworks from theory and experience to guide policy implementation analysis. The next section explores an attempt by Grindle (1980) to develop an integrated policy implementation model considering the political and administrative processes.

5.4. Towards an integrated policy implementation model

According to Minnaar (2010:15), public sector institutions exist to fulfil a specific, narrowly defined mandate. The source of this mandate is government policy. Public sector institutions,

therefore, exist to implement government policy. In a democratic political dispensation, public policymaking flows from a political process. Policies are then translated into enforceable government programmes. Government institutions formulate strategies as performance drivers to direct institutional activities and outputs, which ultimately become the performance indicators. It is, however, required that all government activities reflect and align to the objectives of government policies.

The literature review in chapter 3 outlined the evolution of the public sector administration over time. The evolution ranges from planning, programming and budgeting system approaches to increased emphasis on financial planning and cost accounting. More recent contributions to the literature led the research to New Public Management, which refers to the management- and customer-orientated, performance-driven allocation of resources. New methods and techniques focused on service delivery processes, quality standards and the acceptance of goals for continuous improvement. The use of performance indicators became popular for measuring the efficiency and effectiveness of public service delivery. Managing for results became an increasingly important public sector management theme. The use of Results-Based Management (RBM) or Performance-Based Management (PBM) became the means of promoting good governance and results-oriented public sector management.

According to Young (2003:12), governments around the world are developing and implementing performance-based budgeting systems to determine how well public organisations and programmes are doing in providing services and products to citizens. Governments are looking beyond inputs or budget line-items to make informed decisions. The focus is on linking planning and performance measurement to budgeting. The belief is that long-term success and outcomes, are grounded in measurable progress or achievement. Curristine (2006:129), in support of Young (2003:12), believes that performance incorporates many different concepts. Performance means the achievement of results of activities carried out in relation to the purposes/mandate being pursued. Governments have always wanted results from their spending. The focus is on achieving better results from existing funds. In traditional public sector bureaucracy, compliance with rules was considered more important than efficiency and effectiveness. Recently governments have adopted a number of mechanisms to improve the efficiency and effectiveness of the public sector. Curristine (2006:130) lists some of the approaches of government to improve efficiency and effectiveness as:

- “Strategic management;
- Business planning;
- Performance budgeting and management;

- Devolved and delegated decision-making;
- Structural changes such as the creation of executive agencies;
- The introduction of contracts; and
- Competition and market-type mechanisms in service delivery”.

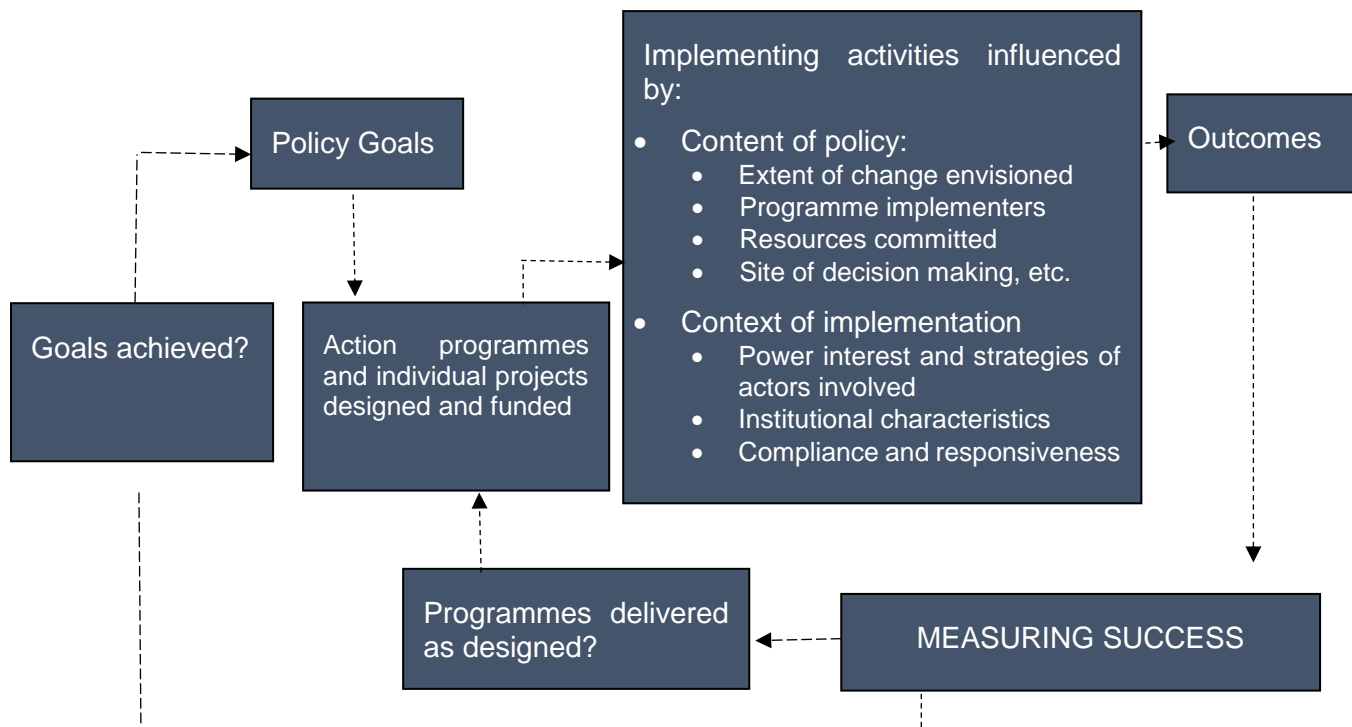
Curristine (2006:130-132) finds that a diverse set of mechanisms towards improving public sector performance exists. The strongest trend, however, in performance across OECD member countries is the introduction of performance-oriented budgeting and performance management. In being more specific, most countries adopted a results-based approach to both management and budgeting, focusing on measurable results.

Curristine (2005:140) finds that the successful use of performance in the budgeting and management processes depends on the context (political and administrative environment). The introduction of outputs and outcomes also requires the integration of these performance measures into the budgeting and management systems. This integration does not only require a change in processes, but also administrative capacity and commitment of role players at various levels of government. Performance-based budgeting and management also require the support of clients and coalitions whose interests are affected by the outcomes. They further provide a mechanism for politicians to provide the content of policy and, therefore, to clearly articulate their goals and objectives for government and to monitor progress towards achieving these goals.

Within the paradigm of PBM, numerous instruments are at the disposal of governments to implement their policy goals and objectives. Howlett (1991:1-10) argues that the selection of policy implementation instruments in a country depends on social, political, economic and administrative factors. Governments have, however, learned from experience which mechanisms achieve the best results dealing with these forces.

Linking to the integration of processes with factors influencing policy implementation as outlined by Curristine (2005:140), Najam (1995:26-27) shows the link between the political and administrative environment by demonstrating the criticality of the administrator-as-implementer to the success of policy implementation in a model conceptualised by Grindle (1980). The model (demonstrated in diagram 5.8) claims to be valid for a wide range of policy areas in most developing countries. Implementation is viewed as a political process, which involves interaction between actors at different levels of government. Implementers, for example, are defined as middle-level officials who are responsible for programme implementation and responsible for programme results. The model considers the content and context of policy as critical clusters of factors influencing policy implementation.

Diagram 5.8: Grindle's (1980) Model of Implementation as a political and administrative process



Source: Najam (1995:27)

This dissertation supports Grindle's model that highlights the measurement of success and the consideration of the content and context as successful policy implementation factors. Feedback into the actions and funding of programmes and projects is critical for measuring success. The content of policy, in specific, the quality of the concepts and causal theory have been noted throughout the research as key for policy implementation. Institutional characteristics could be linked to the characteristics of a programme performance management system due to references in the model to programmes. The elements of a performance management public sector system are regarded as ideal for policy implementation. To be more specific, from an administrative perspective, the view is that a performance-based management, planning and budgeting system provides the ideal environment for policy implementation. The continuous flow of the elements in the Grindle model is an indication that policy implementation analysis is not restricted to a specific start and end point. It is the prerogative of the analyst applying the model where in the process to start the analysis or evaluation.

Performance-based budgeting, when correctly implemented, should work as a strategic management tool to link policy outcomes with funding through budget processes. Srithongrungs (2018:3) explains that performance-based budgeting ties government spending with programme outcomes, thus, aligning public programme implementation with programme

goals. Performance is reported in budget requests by relevant government institutions, which also encourages implementation planning, strategic management, efficiency and effectiveness on a micro-level.

5.4.1. Considerations for an improved policy implementation model

In alignment with the aim of a performance management system – to achieve efficiency and effectiveness – Cerna (2013:22) finds that, although policy implementation differs from country to country due to the involvement of different actors, agencies and contexts, some lessons have emerged from specific research and policy examples. These lessons include the identification of five conditions beneficial for effective policy implementation. These conditions identified by Cerna (2013:22) include:

- “A programme must be based on sound theory relating to changes in target group behaviour;
- Policy decisions have to contain unambiguous policy directives and structure the implementation process in a way that increases the chances of good performance of target groups;
- Leaders and implementing agencies are required to have significant managerial and political skills and commitment to the goals;
- Programmes need to be supported by organised constituency groups and key legislators throughout the process; and
- The priority of objectives should not be undermined by conflicting public policies or changes in socio-economic conditions”.

In addition to the above conditions Cerna (2013:23) also identifies and refines, a variety of other factors for successful policy implementation. These include:

- Policy standards and objectives. (Content)
- Sufficient resources. (Capacity)
- Inter-organisational communication and enforcement activities, including technical advice and assistance. (Client and coalition)
- The characteristics of an implementing agency, including competence and size of the staff complement, and degree of hierarchical control of processes within an implementing agency. (Capacity)
- Economic, social and political conditions. (Context)

- Disposition of implementers, including the motivation and attitudes of those responsible for implementation. (Commitment)

The view is that the six factors identified by Cerna directly link with the criteria of the 5C protocol (indicated in brackets), as discussed in chapter 4.

In support of Cerna (2013:22-23), Hupe and Hill (2016:109, 113) believe that policy implementation failures are due to neglecting to specify requirements or include features aimed at facilitating implementation. They outline the need of involving serious decisions and requirements for effective policy implementation. These decisions and requirements include:

- The development of precise definitions of policy objectives
- Decisions on the operational elements, which include the mechanisms and rules to be used in implementation
- Decisions on the specification of the responsible authorities and resources required for the policy to be implemented

In addition to the identified conditions and requirements that influence policy implementation, Schiavo-Campo (2007:60) argues that policy choices should also meet certain basic criteria to ensure linkages to the budget. The main criteria for policy choices include:

- Consistency – without internal contradictions
- Affordable and implementable
- A clear vision and sense of direction for the medium term
- Open public processes for decision-making
- Capacity to make good policy decisions
- Clear and uncomplicated for reflection in the budget

In support of Cerna (2013:22), Andrews (2018:9) adds the basic structure of a logic model to the criteria that Schiavo-Campo (2007:60) lists for linking policy to the budget as important for policy implementation. The logic model (causal theory) is based on the fact that, when funds are made available for a policy intervention, activities will be undertaken. Activities will further produce outputs that will result in outcomes making an impact on society.

In support of Schiavo-Campo (2007:60) and Andrews (2018:9), Howlett (2009:74) argues that policies and policymaking are all about constrained efforts to match goals and expectations within and across categories of policy elements such as:

- The requirements of policy design to ensure consistency between all levels of policy goals (outcomes), objectives and indicator (outputs) targets.
- Policy implementation tools should be standardised and consistent.

Howlett (2009:74) further explains that multi-level policy analysis is useful to determine the embedded relationships between design and tools for implementation that could assist with explaining the severely constrained nature of policy implementation.

In support of the argument of Howlett (2009:74), McConnell (2014:10-11) asserts that policy failure occurs in the policymaking process, programmes and politics. Although these three forms of failure are linked, it is useful to separate them for analysis purposes. During the policymaking process governments could fail to achieve their intended goal, by following illegitimate processes or being unable to get political and implementer support. Programme failure can be characterised by degrees of failure in terms of achieving desired outcomes, benefiting target groups, meeting criteria such as efficiency in public budgeting and getting little or no support, for either the policy goals or the means of achieving them. Public policies can be influenced and can influence politics, from the motivation of public officials to the pursuit of beliefs. Governments can; therefore, fail to achieve their intended political outcomes, with an effect on reputational damage, out of control agendas, damage to core governance values, and opposition to any small political benefits that may remain.

An observation by Hupe (2011:76) is that the fundamentals of modern policy research are to contribute to getting a holistic picture by addressing specific elements and positioning them within the whole. This observation has consequences for implementation studies. Mechanisms now become visible that had remained unidentified, some of them with effects opposite to the ones assumed on normative grounds. The importance of context becomes clear. When one wants to explain practical variations, it is important to have identified the variety of dimensions in institutional contextual aspects. More factors might appear to have an impact; among them, person-related factors like managerial skills seem to be very important. Lastly, when more factors appear to be involved, the need for structuring analysis becomes more persistent.

Karkatsoulis (2010:469-470) argues that a new public management system must focus on a whole-of-government approach. This requires the integration of functional and structural elements of the budget and policy implementation process as well as the mechanisms for the analysis and design of policies. Budgeting theory should also be revised on a wider governance context, focusing on performance and networks. Findings by Ouda (2013:55) confirm the argument by Karkatsoulis (2010:469-470) for a wider approach in a public management system. He finds that modern budgeting techniques are only successful when they are linked to an approach of managing the public sector as a whole, with the budget and its associated methods as a central process to make the approach operational. Budgeting reforms, known as performance-based budgeting, focus public management more on results than on internal processes. This characteristic of performance-based budgeting makes this

administrative mechanism ideal for tracking policy implementation. Ouda (2013:64) summarises the key aspects provided by a performance-based budgeting system as:

- “Performance Management;
- The use of performance information in the budgeting process;
- A change in the budget structure and format;
- The adoption of a medium-term expenditure framework;
- A top-down approach;
- Modernisation of the accounting system; and
- The development of an appropriate performance measurement system”.

The elements of a performance management system are outlined by Thomas (2011:3-4) as follows:

- “Results-based planning involves rigorous analysis of intended results cascaded down from macro-level impacts. These results must be clearly defined within a budget envelope, with indicators and targets, and with relevant monitoring and evaluation frameworks;
- Results-based budgeting ensures that the budget is formulated to deliver the results specified in planning. Results-based budgeting systems ideally produce multi-year budgets (consistent with the medium-term expenditure framework) to align with the planning time horizon;
- Results-based implementation means that the people, policies, and processes are effective, efficient and economical in delivering the intended activities and services;
- Results-based monitoring means that specific parties are responsible for checking performance against the indicators specified in planning, using defined methodologies for data processing, analysis, and reporting; and
- Results-based evaluation involves specific parties and stakeholders in assessing the achievement of the targets set in planning, using defined methodologies”.

Table 5.2 shows more detail on the attributes of the five components in the public sector management framework. The detail on the attributes of the public sector management framework addresses the concerns of Cerna (2013:22-23) and Hupe and Hill (2016:109, 113) about the neglect of specifying requirements. This framework currently guides the Asia-Pacific Community of Practice on Managing Development Results to assess its country system for the public sector management components against the core attributes for the components, overall objectives, common results, interdependency and vertical and horizontal integration. The gaps are then fed into development actions to strengthen the system.

Table 5.2: Core results attributes

Planning	Budgeting	Implementation Results	Monitoring	Evaluation
Linkages between levels of results and from national down to operational levels (agency, sector, or subnational) are defined.	Budget supports planned priorities.	Institutional priorities are aligned to budget deliverables.	Indicators are regularly monitored.	Evaluation methodology uses indicators from planning and results information from monitoring.
S.M.A.R.T. (Specific, Measurable, Achievable, Relevant, and Time-bound) indicators with targets are specified for each level of results.	Budget process allows efficient and effective prioritization of resources.	Policies, people, and processes are oriented to deliver intended results.	Institutional responsibilities toward integrating monitoring into ministerial and agency functions are defined.	Institutional responsibilities are defined with independent evaluation.
Planning targets are aligned to available budgets.	Budgets have medium term horizon linked to plan and fiscal targets.	Service delivery standards are established.	Data processing, analysis, reporting, and dissemination methodology are specified.	Stakeholder engagement and dissemination methodology is formulated.
	Financial management tracking, reporting, and dissemination methodology for budget execution is established.		Information from monitoring is applied in improving policy, program, and project design and management.	

Source: Thomas (2011:9)

Thomas (2011:4) further argues that, when focusing on policy implementation, it is required that the same set of nationally owned priorities and results should link all the components through the public sector management cycle. The results in the national plan should be the same results, defined during planning, that are also budgeted for, delivered on, monitored and evaluated. If not, planning for results could become a top-down compliance mechanism that ignores fiscal parameters, which could also lead to resources not linked to the objectives of the national plan. The monitoring process can, therefore, monitor indicators and expenditure that provide no information on how to evaluate the spending or progress on national objectives.

Arizti, Brumby, Manning, Senderowitsch and Thomas (2010:36), however, find that managing and budgeting for results work in practice as well as in theory only when special conditions apply. The reasons for having conditions are:

- That many activities can be presented as contributing to multiple outcomes. This phenomenon is not supportive for budgeting or performance management.
- In general, many objectives driving high level outcomes are not of operational value.
- In many instances, services provided are connected to outcomes, but incapable of being measured.

The development of outcomes, therefore, drives a performance management system to produce outputs and derive performance indicators. The injection of performance information into the budget process should improve the judgement of the effective and efficient use of resources. Based on criticism of policy implementation literature, Lester et al (1987:209-2010) identify the conceptual and methodological matters faced by future policy implementation researchers. They caution against the confusion of the characteristics of the implementation process with the product of what happens during implementation or with the outcomes of policy implementation. Conceptual matters refer to:

- The identification of implementation activities.
- The identification of crucial factors affecting policy implementation. It could be that the policy itself is the first critical factor. Researchers are required to move away from the current checklist of factors.
- Combining the factors of top-down and bottom-up approaches into a single intergovernmental policy implementation approach.
- The realisation of the importance of socio-economic and political process factors in policy implementation.
- The translation of analytical frameworks into measurable variables, including the measurement of change in dependant, independent and intervening variables over time.
- The collection of reliable data for evaluation.

This dissertation fully supports the arguments of Karkatsoulis (2010:469-470), Hupe (2011:76) and Ouda (2013:55) that a public management system must focus on a whole-of-government approach. This approach requires the integration of functional and structural elements of the budget and policy implementation process as well as the mechanisms for the assessment and design of policies. In addition to Karkatsoulis (2010:469-470), Hupe (2011:76) and Ouda (2013:55), Robinson and Last (2009:5) argue that the planning process needs to be fully integrated into the budget cycle to ensure effective synergy between sectoral plans and performance budgets. In addition to the interdependency of the elements of a performance

based public sector management system, Thomas (2011:5) recognises that the relationship between these elements change over time, as the systems develop in different countries. Thomas (2011:5) recommends that the linkages between the components need to be assessed periodically. One aspect that has been experienced, as countries develop and moved to a medium-term expenditure framework, is that the planning and budgeting components have merged under one institution. Table 5.3 provides a summary of the institutional arrangements and challenges in four countries, which implemented a performance-based public sector management system.

Table 5.3: Institutional arrangements for planning, budgeting and monitoring and evaluation

Country	Institutional arrangement	Challenges
Indonesia	<p>A National Development Planning Agency (BAPPENAS), the Ministry of Home Affairs have partially overlapping monitoring functions to monitor and evaluate subnational governments.</p> <p>The Ministry of Home Affairs is in charge of monitoring the development of the regions and development outcomes, while BAPPENAS is in charge of monitoring and evaluating the development planning process.</p> <p>The Ministry of Finance is responsible for monitoring the budget disbursement rate. the President has set up a special unit to monitor the progress of the country's strategic development priorities based on the medium-term plan. Assessment of achievements is reported directly to the President.</p>	<p>National-level planning, budgeting, implementation, and—to a lesser extent—monitoring systems are linked, vertical integration has become weaker in the transition to a decentralised system. Normatively, national and subnational planning, budgeting, implementation, and monitoring are linked to each other but, in practice, large gaps remain. Given the decentralised nature of government, national government has little control over subnational spending and the related planning and budgeting processes. Supporting the use of results-based Public Sector Management at each level of the public sector is crucial to achieving common national goals.</p>
Republic of Korea	<p>The Ministry of Planning and Budget (MPB), was merged with the Ministry of Finance and Economy to form the Ministry of Strategy and Finance in 2008, which makes the ultimate decision as to whether the defined targets are appropriate.</p>	<p>Planning and budgeting are significantly aligned and primarily administered by a single ministry. Despite current real-time monitoring and robust evaluation systems, challenges remain including resistance to evaluation in the senior civil service, an emphasis on general learning rather than specialisation, and a fragmented and overlapping evaluation system that leads to redundancy and evaluation fatigue.</p>
Malaysia	<p>The annual planning is done in conjunction with the annual budget process by the Ministry of Finance.</p>	<p>Separate treatment of development and recurrent expenditures tends to divide the planning, budgeting, and implementation process</p>

Country	Institutional arrangement	Challenges
	Although the Economic Planning Unit is also involved in determining the details of the annual development budgets. separate treatment of development and recurrent expenditures tends to divide the planning, budgeting, and implementation process	
Philippines	Planning is led by the National Economic and Development Authority (NEDA), the government's central planning agency. The Department of Budget and Management coordinates (with NEDA) the preparation of the budget submitted to Congress.	Challenges remain in overcoming weak linkages among performance-based public sector management system components, particularly in implementation, monitoring, and evaluation

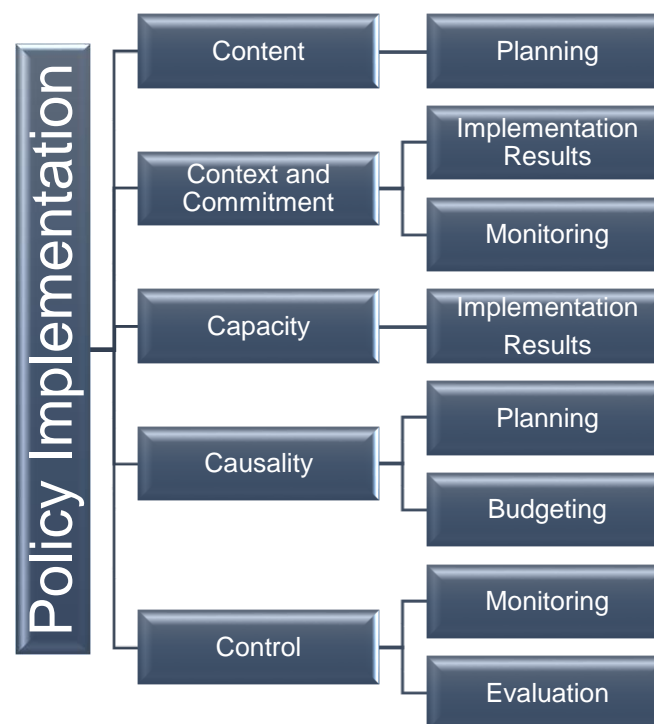
Thomas, 2011:13-34

The information on institutional arrangements shows mixed results for improved linkages between the components of a performance-based public sector management system.

Görgens and Kusek (2009:64) are concerned about the correct placement of the monitoring and evaluation unit in an organisation. It is important for the monitoring and evaluation function to work collaboratively with the planning and budgeting functions. Different views are provided by the literature on the correct placement of the monitoring and evaluation function. There is no correct option, but it is necessary to consider all the factors that could influence the dynamics within organisations to strike a balance between the planning, budgeting and monitoring and evaluation functions.

Over time governments have learned from experience which mechanisms achieve the best results. Modern management and operational mechanisms are performance based and well defined. Performance management mechanisms, which include elements of planning, budgeting, implementation, monitoring and evaluation. These include micro-level activities and guidelines that consider content, context, commitment, capacity, client and coalition (regarded as an overarching factor) (5C protocol); with a further strong emphasis on alignment (causal effect), monitoring and evaluation (control aspect), as well as communication, which is regarded as an overarching factor within the performance-based system. The view that commitment could be integrated with the broader context factor and that communication and client and coalitions are regarded as transversal factors suggest a revised 5C protocol. Diagram 5.9 illustrates how the revised 5Cs link with the five components of the public sector performance management framework, which consists of the core results attributes (as shown in table 5.2) for effective policy implementation.

Diagram 5.9: Alignment of the revised 5Cs with the performance-management framework



Source: Author, based on literature reviewed

In addition to the illustration of how the aspects of the factors influencing policy implementation facilitate or obstruct effective implementation, diagram 5.10 shows the integration and linkages of key instruments within public sector mechanisms influencing policy implementation. The motivation for combining the elements of a performance management system with the selection of factors influencing policy implementation is to demonstrate the direct and indirect linkages of the core results attributes of a performance management, planning, budgeting and monitoring and evaluation system to the factors supporting effective policy implementation. This framework also forms the basis for the development of a policy implementation analysis model.

Thomas (2011:9) outlines some of the attributes of a performance management, planning and budgeting system that allows for (also see table 5.2):

- The alignment of national outcomes with institutional goals, objectives and outputs
- The alignment of programme structures to national priorities
- The alignment of the budget with national priorities
- The monitoring of progress (if measurable) and correctional action
- The necessary capacity in terms of planning, funding, human resources and accountability (programme structure)

The attributes of a performance management, planning, budgeting and monitoring and evaluation system, therefore, make the instruments of a performance-based system ideal for policy implementation when properly (consider aspects, follow guidelines and comply to specific conditions) implemented. Previous researchers (Hill and Hupe, 2003:472) indicated that 100 per cent compliance is required. The challenge, therefore, is to implement the system properly to reap the benefits of efficiency and effectiveness and to be able to evaluate success or failure.

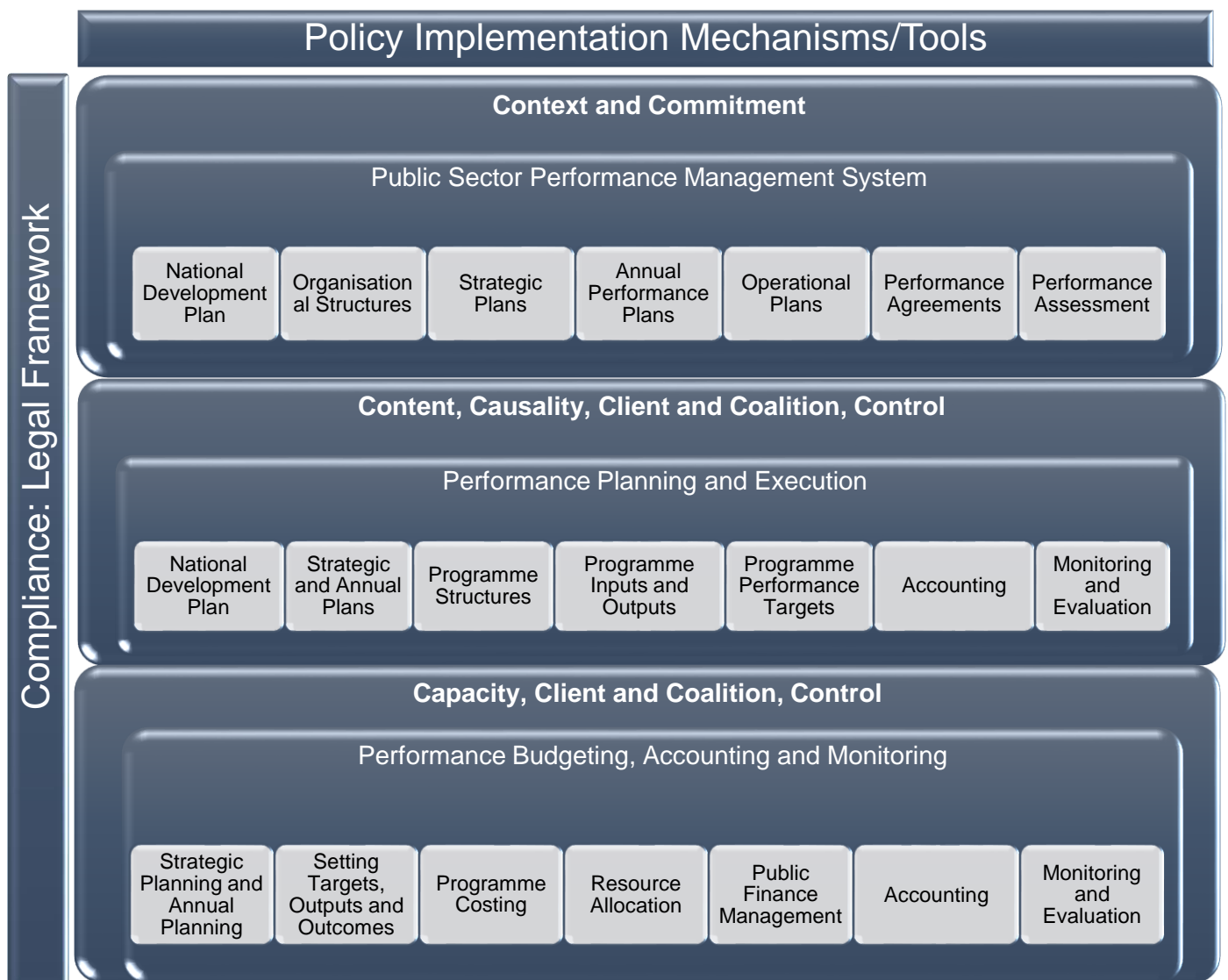
5.4.2. Integrating mechanisms with factors influencing policy implementation

To be able to implement available mechanisms for policy implementation properly requires a clear understanding of how the different aspects of the factors influencing policy implementation facilitate or obstruct effective policy implementation. Hupe (2011:76) observes that the core of modern policy research is to contribute to getting the bigger picture by addressing specific elements and positioning them within the whole. It is important to identify the variety of dimensions in an institutional context, specifically when one wants to explain practical variations, such as in the case of the effect on policy implementation. More factors might appear to have an impact; among them, person-related factors like managerial skills seem to be very important. The need for structuring analysis becomes more pressing when more factors seem to be involved.

Diagram 5.10 categorises the mechanisms and main instruments of a public sector performance-based system, assisting policy implementation, within the categories from the proposed 7C protocol (original 5, plus an additional 2). The diagram further illustrates the linkages of the core instruments of public sector performance-based mechanisms within a broader public administrative legal framework.

The framework provides the basis for the development of a more practical analysis tool to determine any obstacles for policy implementation. It could also guide public sector managers with the integration of the mechanisms available for planning, budgeting, accounting and monitoring and evaluation. It is, however, not a model that could assist with the analysis of policy implementation that should, ideally, determine success or failure within the factors and mechanisms that are required for successful policy implementation. The combination of the instruments and the translation of the attributes of these mechanisms into measurable variables are required to develop a practical policy analysis tool.

Diagram 5.10: An integrated framework guiding policy implementation



Source: Author, based on literature reviewed

5.5. An improved policy implementation analysis model

From experience, policy analysts are often required to give advice to policymakers in short periods of time. This requirement of policymakers requires quick, but reliable policy analysis from staff without having long periods of time to conduct intensive policy research by employing consultants or researchers, for example. Although many models and frameworks have been developed over time to assist government with the evaluation of policy implementation, the main challenge with these models and frameworks is to get a holistic, whole-of-government view of the main factors that influence policy implementation.

To be able to get a holistic picture, literature on public sector reforms, mechanisms for policy implementation, factors affecting policy implementation, and a compendium of models,

frameworks, approaches and perspectives of policy implementation research were considered. The literature reviewed showed theoretical diversity, weaknesses in policy implementation models, and the relationship between implementation and processes.

With the introduction of performance-based management, planning and budgeting in the public sector to improve government performance also came performance objectives, reporting and auditing or monitoring and evaluation. A better understanding of the elements of a performance-based management system, in government, showed the advantages for the policy implementation process. The aim of performance objectives is to encourage government to use resources for priority activities. Performance reporting involves regular, systematic publication of data on results to citizens and oversight bodies to perform audits or monitor and evaluate performance.

Performance-based public management appears to be an important and long-term reform in public management and, therefore, had to be considered in developing a model for assisting with policy formulation and policy implementation analysis/evaluation. In addition to the mechanisms for a performance-based management system, research has shown that the 5C protocol is representative and acceptable for general analysis, but it is not exhaustive. The instruments of performance management, planning and budgeting have also been found to support the categories of the 5C protocol. In addition to the categories of the 5C protocol (from a comparison of models and frameworks: see table 5.1) causal theory and control have been identified as additional key factors for policy implementation analysis. Capacity has been identified as a common factor within all the models compared in the study. The identification of the shortcomings as well as the common factors guided the development of a proposed new model that reflects a comprehensive set of factors for a practical policy analysis model.

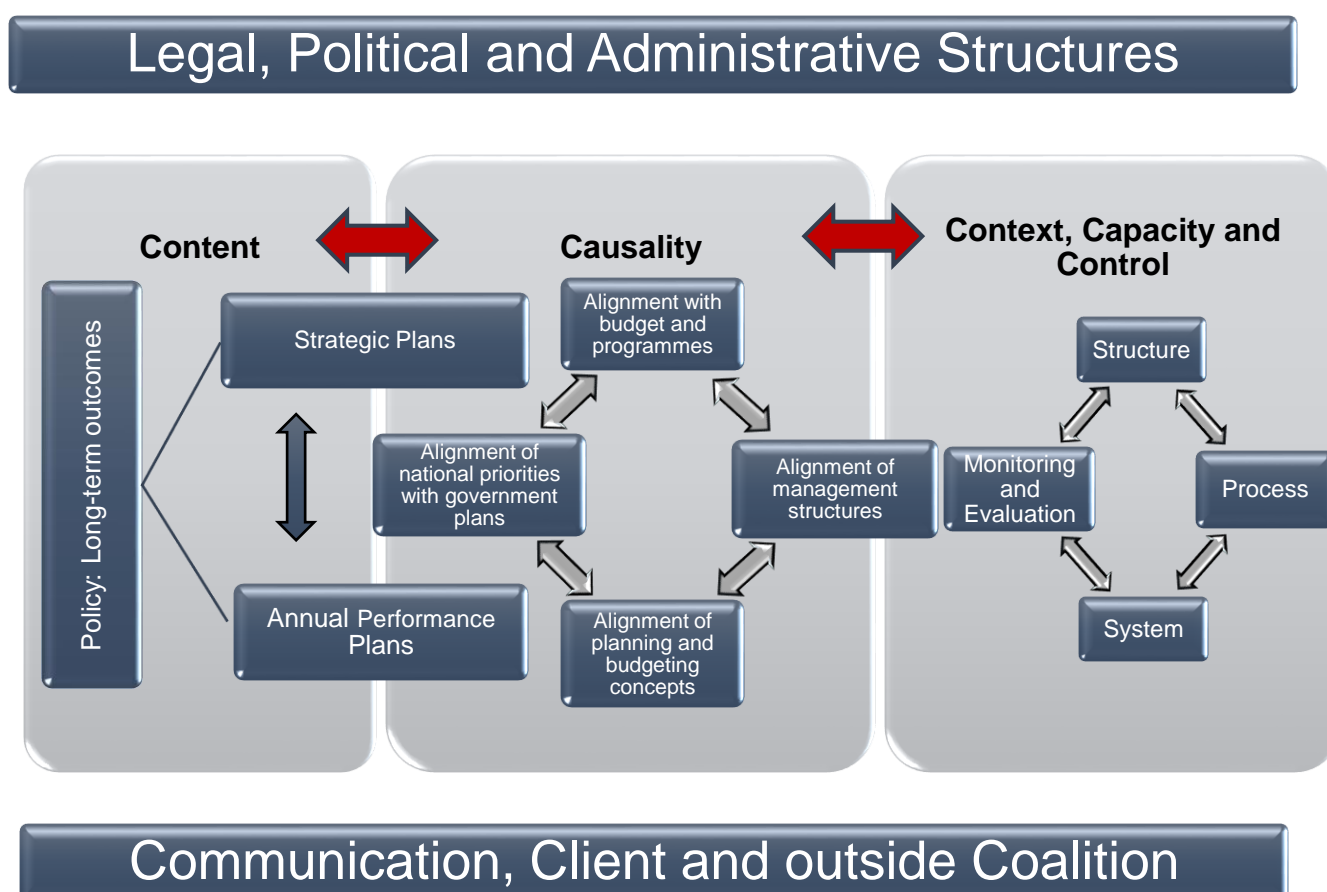
After considering the literature reviewed for this study, the gaps and overlaps in previous models and several matters including the conceptual matters, identified by Lester et al (1987:209-2010), the candidate consolidated and categorised instruments of a performance-based management system into a model for analysing the policy process (bearing in mind the mandate of the level of government). The literature also created a perception that a shortage of methodologies to implement PBB exists.

The proposed model not only builds on previous models and frameworks, but is also based on the assumption that the formulation of a policy has gone through the appropriate political, consultation and approval processes. Due to the structure of a performance-based public management system, the development of the policy implementation analysis model assumes that a legal framework for a well-defined performance-based public management system is in place on all levels of government. In addition to the legal requirement, political and

administrative arrangements should be considered when applying the model. When applying the model, it is important to take cognisance of the type of policy that is under evaluation, for example national, sectoral, departmental, etc. and to consider the mandate of the implementing agent (level of centre of government, intergovernmental or departmental). The proposed model for policy implementation analysis considers content, causality, context, capacity and control – depending on good communication, client and coalitions within a legal, political and administrative framework as critical elements influencing policy implementation. In addition to the transversal features of the model, Cloete (2018:2) suggests coherence between the different policy elements to enable synergy to ensure effective policy implementation.

Diagram 5.11 shows the proposed elements and features of a model for policy implementation analysis.

Diagram 5.11: Model for policy implementation analysis



Source: Author, based on literature reviewed including previous models and frameworks

According to Thomas (2011:5-6) national outcomes must be translated into institutional strategies, making institutions on all levels collectively responsible for achieving results. All levels of government (regions, districts, provinces, etc.) play a role in achieving country results.

Sub-national governments; therefore, also have the responsibility to formulate and implement their own strategic plans within the overall national policy framework. This responsibility must be linked to context, capacity, management and accountability to ensure programme delivery. It should, however, be acknowledged that, as countries develop, the relationships among these elements change. The linkages should, therefore, be reassessed occasionally. The applied methodology for the proposed policy analysis model will differ from country to country depending on the standard administrative systems, criteria, frameworks and guidelines introduced.

This proposed model is sufficiently broad to encompass all the aspects of policy implementation cited by different researchers. The following aspect of the model allows for the translation of the model into practice and suggests that policy implementation failures may be due to the following shortcomings in the policy process in terms of the following categories of factors.:

- Content relates to policy formulation, specifically with regards to the development of the planning concepts (such as goals, objectives, performance indicators and targets). It further requires alignment with the bureaucracy through which implementation occurs as well as the relevance of these concepts and the relation to each other in terms of logic.
- Causality refers to the integration of policy with institutional plans and budgets, and the relationship between the management structures involved in the planning and budgeting processes. (Causality also plays a role in the content of a policy and plans. This causality features relates to the logic between the planning concepts.)
- Context, capacity and control refer to mechanisms of a performance-based management system. Such mechanisms should provide the structures and programmes, processes, systems and oversight mechanisms to ensure policy implementation. The control, as a management function and external oversight bodies, includes monitoring and evaluation as well as policy review.
- Communication, and client and outside coalition are promoted as factors affecting the entire policy implementation process.

It should be noted that the model includes categories of factors that might include other variables. The model is anticipated to be applicable to all spheres of government, ensuring that the mandate of the level of government is taken into account. It should further be noted that the elements of the analysis model do not exist in isolation, so it should be treated as a whole. The model also does not prescribe a start and end point, which could be determined

by the analyst. The terminology used in the model might differ from one country to the other or in terms of the different concepts used in different spheres of government.

The practical application of the model is tested, on a national level, in chapter 6.

5.6. Summary

This chapter builds on the public sector management mechanisms discussed in chapter 3 and the main categories of factors for successful policy implementation discussed in chapter 4.

Policy implementation research has progressed towards an increased use of theoretical approaches to address various implementation challenges. The menu of potentially useable theories, models and frameworks is extensive. Combining the merits of multiple theoretical approaches offers a more complete understanding and explanation. Drawing from emerging ideas built on a synthesis of partial perspectives is ultimately likely to be the most useful approach. New methodological tools can help select practices that can be applied in policy implementation.

Some of the policy implementation models and frameworks developed between 1975 and 1980 identify factors that contribute to the realisation (or non-realisation) of policy objectives. These factors could all be linked to the categories of the 5C protocol.

In a democratic political dispensation, public policymaking flows from a political process. Policies are then translated into enforceable government programmes. Government institutions formulate strategies as performance drivers to direct institutional activities and outputs, which ultimately become the performance indicators. It is, however, required that all government activities reflect and align with the objectives of government policies.

Governments around the world are developing and implementing performance-based budgeting systems to determine how well public organisations and programmes are providing services and products to citizens. There is a renewed interest in linking planning and performance measurement to budgeting to ensure long-term effects or outcomes, and choices that are grounded in measurable progress or accomplishment.

The elements of a performance management public sector system are regarded as ideal for policy implementation. Performance management mechanisms include elements of planning, budgeting, monitoring and evaluation, which include micro-level activities and guidelines that consider content, context, commitment, capacity, client and coalition (5C protocol) as well as communication. A combination of the elements of a performance management system with the selection of factors influencing policy implementation demonstrates the direct and indirect linkages of the core results attributes of a performance management, planning and budgeting

system to the factors supporting effective policy implementation. The challenge, however, is to implement the system properly to reap the benefits of efficiency and effectiveness and to be able to evaluate success or failure.

A framework (see diagram 5.10) has been developed to demonstrate the different mechanisms within a performance-based system that support policy implementation. It further shows the integration of the mechanisms with the categories of the 5c protocol. It is, however, not a model that could assist with the analysis of policy implementation that should, ideally, determine success or failure within the factors and mechanisms that are required for successful policy implementation. The combination of the instruments as well as the translation of the attributes of these mechanisms into measurable variables assisted with the development of a practical policy analysis model. The instruments of a performance-based management system were consolidated and categorised into a model for analysing the policy process.

The proposed model builds on previous models and frameworks and considers performance, communication, client and coalition, data, capacity, content and context, causal theory as well as management structures as critical elements that influence policy implementation.

CHAPTER 6: ANALYSIS OF THE SOUTH AFRICAN NATIONAL DEVELOPMENT PLAN, VISION 2030

6.1.Introduction

According to Rakabe (2013:319), governments globally are increasingly under pressure to demonstrate results to electorates who want to see the actual outcomes and impact of public expenditure. Despite radical changes in public sector performance management, governments continue to struggle with demonstrating policy implementation progress, how to detect problems and correct them, and ultimately whether policy implementation was successful.

In the case of South Africa, Alam, Mokate and Plangemann (2016:31-34) believe that the political transition to democracy was the catalyst for reforming the public sector. Several factors such as leadership, the interface between the political and administrative spheres, and the acknowledgement of the differences in administrative and economic capacity contributed to the success of some of the reforms.

Comprehensive public financial management reforms in South Africa, in accordance with the Public Finance Management Act (PFMA), 1999 (Act no.1 of 1999), include structural changes in government. Budget process reforms include the introduction of a medium-term expenditure framework (MTEF), the publication of budget documentation including performance information, and the strengthening of performance evaluation. In addition to these reforms, government, through an outcomes-based approach, also intended to measure the various elements of the performance management system. These elements range from planning to budgeting, outputs, outcomes and personal performance. The outcomes-based approach further seeks to advance the implementation and assessment of various policies. To assist government officials with the implementation of the outcomes-based approach the Presidency introduced a guide to the outcomes approach in 2010.

Subsequent to the introduction of the outcomes-based guide, the Presidency launched the National Development Plan (NDP), vision 2030, which is the blueprint long-term plan for South Africa. The intention of the NDP is to capture the core of what needs to be done to provide a better life for all. It proposes specific policy actions, sets targets and identifies mechanisms for effective implementation. The NDP and its proposals will have to be implemented in the right order, using the relevant mechanisms for policy implementation and continuously measuring progress to identify constraints for implementation and to implement corrective measures.

Parsons (1995:57) is of the view that public policy analysis requires organised ideas and concepts. In order to understand the complexities in the world, in specific policy

implementation, complexities need to be simplified. Simplification is required in order to understand the multiplicity of factors. In order to simplify the multiplicity of factors influencing policy implementation, a model, was developed in chapter 5 of this document. This model provides the basis for gaining a better understanding of the reasons for the perceived poor performance on the goals of the NDP. The proposed policy implementation analysis model acknowledges the multi-dimensional characteristics of the public policy process. The model was applied to the NDP in a systematic manner, while avoiding evaluative and therefore premature findings in terms of success or failure of the implementation. The main interest of this chapter is to understand the degree of progress and what poor progress means and to find the reasons for the perceived poor performance as found by a review by the Department of Planning, Monitoring and Evaluation on the implementation of the NDP between 2014 and 2019 (RSA, 2018b:14-15).

This chapter starts with the policy implementation framework for South Africa followed by a description of the NDP. The analysis of the implementation of the NDP against the proposed policy analysis model includes an analysis of the content, causality, context, capacity and control elements influencing policy implementation.

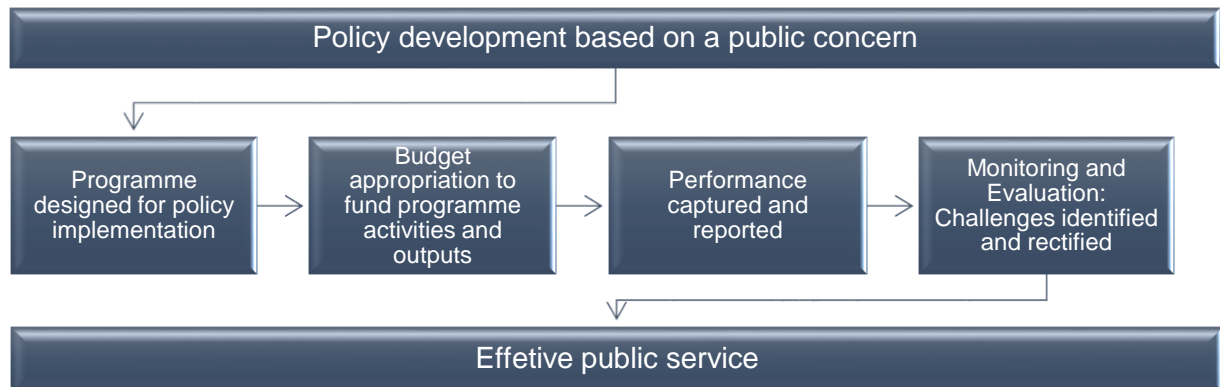
6.2. Policy Implementation Framework in South Africa

In addition to the development of macro development policy frameworks to address problems linked to poverty, unemployment and inequality since 1994, government was also concerned with the fundamental restructuring of the apartheid state into a modern public service. Government, among others, coordinated and integrated government systems and services. According to Engela and Ajam (2010: 1) the distinct but interrelated spheres of government created by the 1996 Constitution distributes powers and functions across three spheres of government. Policy making occurs at the national level, while the implementation is a concurrent function of the provincial and local government spheres. This complex, decentralised system of government, which also interacts with public entities and state-owned enterprises introduced an overarching policy framework for monitoring and evaluation, applicable to all institutions in the national, provincial and local spheres of government.

Despite the introduction of this framework the effective implementation has been a challenge to have a developmental impact. The framework for the government-wide monitoring and evaluation system demonstrates the sequence of events required for effective policy implementation, the relationships between the deployment of inputs, the generation of service delivery outputs, their associated outcomes and impacts. Diagram 6.1 shows the relationship

between the governance processes and relevant data terrains for increasing effectiveness of policy implementation (RSA, 2007b:1, 5).

Diagram 6.1: Governance processes and data terrains



Source: Author, adapted from RSA (2007b:6)

In addition to the framework for government-wide monitoring and evaluation, government also introduced the outcomes-based approach to ensure that government focuses on achieving the expected real improvement in the life of all South Africans. This approach involves the adoption of a set of key national outcomes with measurable outputs and key activities. In 2012, government introduced the NDP, which consists of 14 national outcomes. These outcomes were further developed into the 2014–2019 Medium-Term Strategic Framework (MTSF) for implementation (RSA, 2007b:6-7).

6.3. The South African National Development Plan, vision 2030

The National Development Plan (NDP) is a detailed blueprint of how the country can eliminate poverty and reduce inequality by the year 2030. It defines a desired destination and identifies the role of different sectors of society in reaching its goals. As a long-term strategic plan, it aims to serve four broad objectives:

- “Providing overarching goals for what South Africa wants to achieve by 2030;
- Identifying the key obstacles for achieving these goals and what needs to be done to overcome those obstacles;
- Providing a shared long-term strategic planning framework to advance the long-term goals set out in the plan; and
- Creating a basis for making choices about how best to use limited resources”.

The NDP also highlights the need to improve the quality of administration of many government activities. The administrative processes carried out by departments and other government

institutions/entities, therefore, have a vital role to play in achieving the vision and proposals contained in the NDP (RSA, 2013b:1-2).

Government acknowledges that the NDP proposals have to be incorporated into existing activities of departments and broken down into the medium- and short-term plans of government at national, provincial and municipal levels. The NDP aims to provide the golden thread that brings coherence and consistency to the different plans. The NDP suggests that each government programme should be backed by detailed implementation plans that clearly set out choices made, actions that need to be undertaken and their sequencing. The NDP outcomes should shape resource allocation over the period until 2030. As a result, prioritised allocations should grow faster than other parts of the budget.

As mentioned above, implementation of the NDP requires a process of breaking down the plan into key outputs and activities to be implemented by individual departments or groups of departments (RSA, 2013b:2-3).

According to the National Development Plan unpacked report (RSA, 2013b:2), implementation of the NDP is planned to take place by prioritising specific goals in three broad stages, through five-year implementation plans or Medium-Term Strategic Frameworks (MTSFs):

- The first planning cycle between 2014 and 2019 is regarded as the first five-year period in which the goals of the NDP should be introduced at all levels of government.
- The next two five-year periods should be used to initiate the remaining activities. These periods should build on previous cycles and be informed by the review of performance on the targets set for those periods.

Since 2014, government started the process of aligning the strategic plans of departments with the NDP and to identify areas where policy change is required for consistency. According to National Development Plan unpacked report (RSA, 2013b:3), steps that were already taken to facilitate the integration of the NDP include:

- The introduction of the first five-year implementation plan (2014–2019 MTSF)
- Roles and responsibilities were assigned to ministries
- The National Budget was aligned to the NDP outcomes
- The development of performance indicators for each programme
- Strategic plans and Annual performance plans incorporate NDP goals
- Monitoring and evaluation of performance by Cabinet
- Continuous improvement of implementation

The 2014–2019 MTSF was supposed to have been precise and clear in identifying indicators and targets to be achieved for the NDP outcomes. A Programme of Action (POA) report

provides performance on a quarterly basis on the targets set for the 2014–2019 MTSF. This report also provides an opportunity for analysts to evaluate performance and to identify obstacles for implementation. The identification of obstacles for implementation is also the main purpose of the analysis of the implementation of the NDP as a case study for South Africa.

6.3.1. Analysing the implementation of the NDP against the proposed model for policy implementation

Despite a host of techniques for policy analysis listed by Parsons (1995:56), the main focus of this research is policy implementation: to determine whether a policy decision is implemented without being changed in such a way that it no longer brings about the change that is required for improving the lives of citizens. Cloete and Auriacombe (2014:79, 81) believe that policy implementation analysis involves the assessment of internal activities and processes of different institutions. It also involves how these attempts convert resources into outputs and how it can be improved to address challenges with efficiency and effectiveness. Policy analysis further tests the causal linkages between the identified problem, policy decisions and actions taken to address the problem. This causal logic, as part of policy analysis, is also known as the theory of change, which comprises different combinations of subjectivity, normative beliefs, values and more objective facts and figures that constitute empirical evidence to substantiate proposals. This chapter supports and embraces the view of Cloete and Auriacombe (2014:79, 81), together with a statement by Wildavsky (2017:3), that policy analysis is synonymous with creativity that might link to the subjective beliefs involved in policy analysis.

The proposed model for policy implementation analysis from chapter 5 is used as a guide to combine creative thinking, with facts to evaluate the content, causality, context, capacity and control, as the main factors. The following analysis of the NDP is based on these factors. The methodology used for the analysis is determined by the factors and the significance for evaluating success or failure.

6.3.1.1. Content

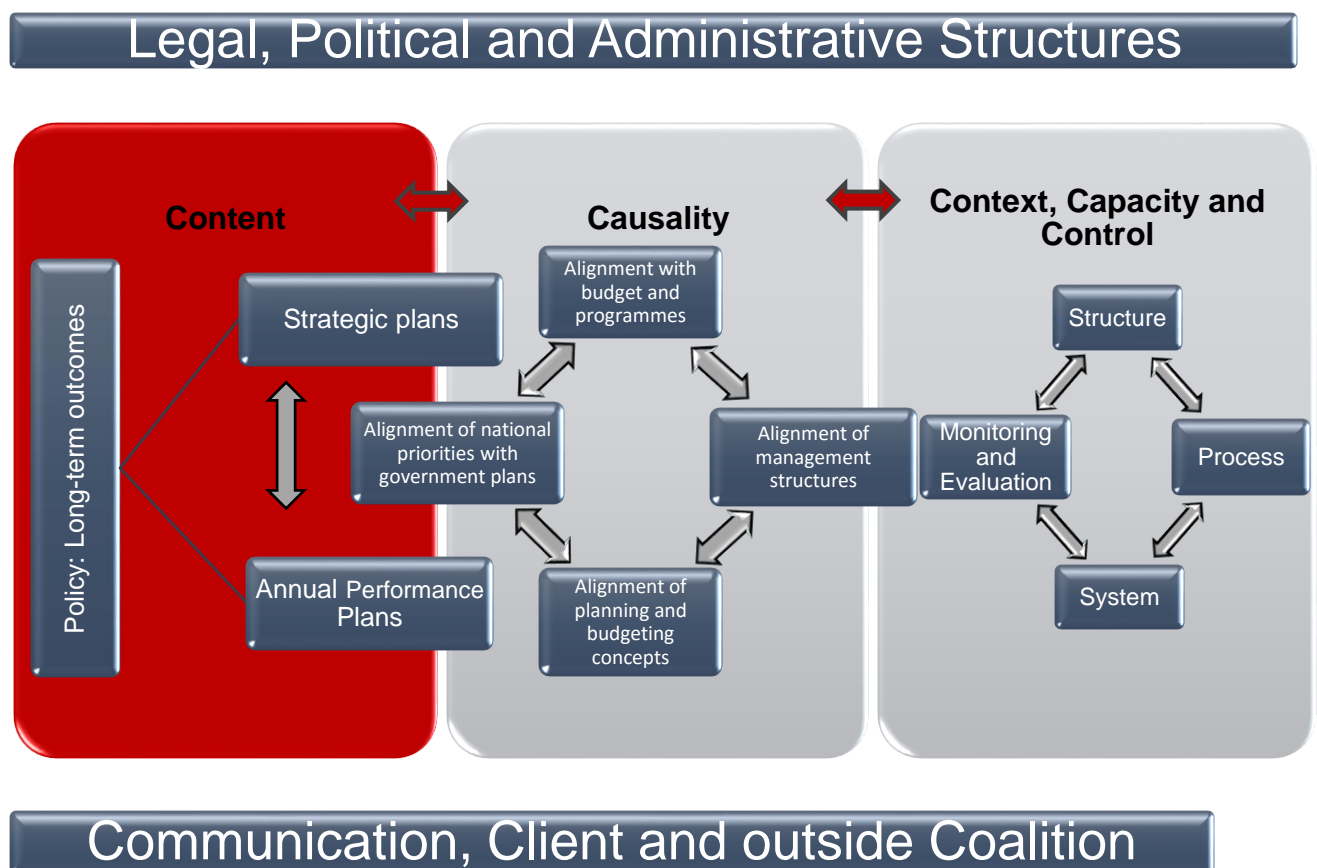
Content refers to the result of policy formulation/design, specifically with regards to the development of the planning concepts (such as goals, objectives, performance indicators and

targets). It further requires alignment and integration with the mechanisms through which implementation occurs, the relevance of these concepts and the link with each other.

According to Minnaar (2010:15), public policymaking flows from a political process, which is then translated into enforceable government programmes. Government institutions formulate strategies as performance drivers to direct institutional activities and outputs, which ultimately become the performance indicators.

With this statement in mind, the analysis starts with a brief overview of the content, implementation and reporting documents of the NDP. This is followed by an overview of the content of the strategic documents formulated by South African government institutions in terms of the legal framework (Public Finance Management Act (PFMA), 1999 (Act 1 of 1999) and related regulations and guidelines). Due to the importance of the quality of a policy design for policy implementation, the overview is followed by the evaluation of the content of the implementation plans for the NDP. This evaluation is done in terms of the legal framework for the content of strategic documents developed for the South African government institutions. The first pillar of the proposed model for policy implementation from chapter 5 guides the content analysis.

Diagram 5.11 from chapter 5: Model for policy implementation analysis



Source: Own, based on literature reviewed including previous models and frameworks

In terms of the proposed policy implementation analysis model (diagram 5.11), policy and long-term outcomes for this analysis refer to the South African National Development Plan (NDP) and the first five-year implementation plan, the 2014–2019 Medium-Term Strategic Framework (MTSF). The MTSF is captured in 14 identical frameworks, per national outcome, consisting of goals, sub-outcomes, actions, indicators, baselines and annual targets for specific years over the five-year period. In addition to these planning concepts, roles and responsibilities are also allocated in terms of managing the implementation of the outcomes. Performance reporting is done quarterly through a Programme of Action (POA) report. These reports are a consolidation of all the planning concepts, including the responsible institution (as reflected in the MTSF), performance information and the systems used for data collection. The performance reports are based on performance reports from the relevant institutions contributing to the outcome and are published on the Department of Planning, Monitoring and Evaluation's website. The outline and availability of these reports made them the preferred source of information for the evaluation of the content.

In the absence of technical descriptions for the planning concepts for the implementation of the NDP, the planning concepts were evaluated against the legal framework for policy implementation in the South African public sector. In terms of RSA (2010c:6), strategic plans focus on strategic outcome-oriented goals for the institution as a whole. Objectives are developed for each of its main service delivery areas aligned to the budget programme structure. To ensure the alignment of policy and plans, Departmental Strategic Plans are required to consider the goals of the MTSF.

An annual performance plan sets out what institutions intend doing in the forthcoming financial year and over the following three-year period to implement the strategic plan. The document sets out programme performance indicators and targets according to the budget programme structure. These performance indicators should enable the achievement of goals and objectives. An annual performance plan should be linked to the strategic plan, the budget and the Medium-Term Expenditure Framework (MTEF), and should be informed by any updates to government's long-term plans and MTSF. In-year monitoring of the annual performance plan is conducted through quarterly performance reports.

RSA (2010c:13-15) defines the planning concepts as follows:

- Programmes: A budget programme is a main division within a department's budget that funds a clearly defined set of objectives based on the functions within the department's legislative mandates. It also constitutes a management unit established within a department responsible for the delivery of a defined set of services and functions. The term 'programme' relates to a functional division created within the context of the budget

and designated as a 'programme' in the budget estimates, strategic and annual performance plans.

- **Goals:** Strategic outcome-oriented goals should mainly focus on impacts and outcomes. A strategic outcome-oriented goal should ideally be written as a statement intending to be specific, measurable, achievable, relevant and time-bound (SMART).
- **Objectives:** Strategic objectives should state clearly what the institution intends doing (or producing) to achieve its strategic outcome-oriented goals. The objectives should generally be stated in the form of an output statement. In special circumstances institutions might specify them in relation to inputs and activities or outcomes.
- **Performance indicators:** It is expected of institutions to identify a set of programme performance indicators and targets in its Annual Performance Plan. These programme performance indicators are used to track ongoing institutional performance. Indicators should be developed in terms of outputs, economy, efficiency and equity. Institutions should consult with key stakeholders (for example other levels of government or implementing agents) to identify and include indicators in their annual performance plans to track service delivery. Programme performance indicators that are reliable, well defined, verifiable, cost-effective, appropriate and relevant should be identified. Ideally, performance indicator must have baseline information and targets stated in terms of actual numbers. A good performance indicator should be:
 - **Reliable:** A performance indicator should be able to reflect upon a change in society.
 - **Well-defined:** A performance indicator should be clear and explicitly defined for data collection purposes.
 - **Verifiable:** Systems and processes should be in place to validate the data for reporting on a performance indicator.
 - **Cost-effective:** The cost of collecting the data on a performance indicator must be aligned to the usefulness of the indicator.
 - **Appropriate:** A performance indicator must be suitable and encourage service delivery improvements. It should not motivate managers to carry out an activity merely to meet a particular target.
 - **Relevant:** A performance indicator must relate logically to an aspect of the institution's mandate, and linked to the realisation of strategic goals and objectives.

The next step, after a set of appropriate indicators has been defined, is to specify the level of performance the institution and its employees will attempt to achieve. This step involves

the specification of suitable performance targets relative to baselines. An institution must include performance targets for each programme performance indicator against which it will report. Targets must be set for a specific period within the budget year and over the medium term.

Institutions are further expected to include baselines for each target. In most instances, the baseline is the level of performance recorded in the prior year. A useful set of criteria for selecting performance targets is the 'SMART' criteria:

- Specific: This means that the level of performance must be clearly identified
- Measurable: One must be able to measure the intended level of performance
- Achievable: Targets must be set in terms of a baseline or existing capacity
- Relevant: The target must be applicable to the achievement of a performance indicator
- Time-bound: Targets must be set for a specific period within the financial year or medium term framework

The planning concepts used in the 2014–2019 MTSF were evaluated against the legal framework and definitions (RSA 2010c:13-15) for these concepts used in the accountability documents of government.

The 2014–2019 MTSF developed sub-outcomes for each of the national outcome statements. These sub-outcomes were evaluated against the definition of a strategic objective. An assessment of the sub-outcomes shows that all sub-outcomes clearly state what the institutions, mainly on a national level, intend doing to achieve the national outcomes.

The performance indicators and targets in the original published 2014–2019 MTSF were assessed against the standards set for the development of performance indicators and targets as presented above. To be more specific, the focus of the evaluation of the performance indicators was on the logical relationship of the indicators to the outcomes and sub-outcomes in the 2014–2019 MTSF and the accuracy for its intended use. The focus was therefore on the relevance and reliability of the performance indicators. Given the allocation of the responsible institutions for the implementation of the NDP, most indicators relate to the mandate of national departments, which are not appropriate to measure service delivery improvements. Definitions for performance indicators were not a requirement for the development of the implementation plans for the NDP. The performance indicators could therefore not be judged for not being well-defined. The evaluation of the verifiability and cost-effectiveness of collecting the data for reporting on the performance indicators are beyond the scope of this research.

The targets set for the 2017/18 financial year were assessed against the 'SMART' criteria. The focus was mainly on specificity and measurability. Due to the absence of a budget or other resource information for the implementation of the NDP, the achievability of the targets could not be evaluated. Targets were all set per annum and were therefore time-bound. The relevance evaluation was done on the performance indicators and, therefore, not repeated for targets.

The performance indicators and targets were qualitatively and broadly judged in terms of the above criteria for performance indicators and targets.

Table 6.1 shows the outcome of the performance indicator and target evaluations. The analysis shows that 87 per cent of indicators are relevant and reliable to measure performance on the sub-outcomes, 73 per cent of the indicators have baselines and 66 per cent of targets set for 2017/18 financial year adhere to the 'SMART' principal.

Table 6.1. Quality of specific performance concepts

Outcome	Percentage of relevant indicators	Percentage of indicators with baselines	Percentage SMART targets for 2017/18
Outcome 1: Quality Basic Education	95%	64%	100%
Outcome 2: A Long and Healthy Life for All South Africans	86%	70%	83%
Outcome 3: All people in South Africa are and feel safe	84%	69%	86%
Outcome 4: Decent employment through inclusive economic growth	52%	55%	13%
Outcome 5: A skilled and capable workforce to support an inclusive growth path	95%	50%	75%
Outcome 6: An efficient, competitive and responsive economic infrastructure network	79%	72%	21%
Outcome 7: Comprehensive rural development and land reform	89%	91%	98%
Outcome 8: Human Settlements	97%	61%	
Outcome 9: Responsive, accountable, effective and efficient developmental local government system	100%	75%	
Outcome 10: Protect and Enhance Our Environmental Assets and Natural Resources	100%	100%	96%
Outcome 11: Create a better South Africa, contribute to a better and safer Africa in a better world	94%	61%	79%
Outcome 12: An efficient, effective and development-oriented public service	87%	82%	79%
Outcome 13: An inclusive and responsive social protection system	93%	91%	83%
Outcome 14: Nation Building and Social Cohesion Alignment and Progress	91%	65%	92%
Total	87%	73%	66%

Data source: Author, from Department of Planning, Monitoring and Evaluation data

The relevance (in terms of the mandate of the national sphere of government) of performance indicators ranges between 51 per cent and 100 per cent. The percentage of performance indicators with baselines attached to them ranges from 50 per cent to 100 per cent. The

percentage of targets that comply to the ‘SMART’ criteria, specifically, in terms of measurability ranges from 13 per cent to 100 per cent.

Outcome 4: “Decent employment through inclusive economic growth” is the poorest (between 13% and 55%) performing outcome in terms of content.

A further observation on the content of the implementation plan (2014–2019 MTSF) of the NDP is that not all planning concepts are in line with the planning concepts of the standard accountability documents of government. In other words, different terminology for the planning concepts is presented in the NDP.

The relevance of performance indicators developed to measure performance on the NDP mainly relates to the mandate of the national sphere of government and is, therefore, not useful for measuring performance on service delivery on a provincial and local government level. The absence of baselines to measure performance, on targets, not only makes a credible performance evaluation impossible, but also questions the reliability of such performance indicators. If reliability was considered with the relevance of performance indicators, the quality of the performance indicators would be 60 per cent (27 per cent less than the 87 per cent reflected). During the evaluation of the performance indicators it was also observed that many performance indicators relate to statistical information, which could be useful for an impact evaluation only.

The opinion of an external reviewer, of this research, is that the degree of relevance of the indicators is extremely weak and, in many cases, inappropriate. This issue refers to the matter of doing the right things in the right manner to achieve success. Many indicators are furthermore too restricted because they still measure outputs and not outcomes or impact. In addition to the weak indicators [not relevant to track service delivery], many NDP/[MTSF] programmes/[outcomes] are badly designed and assume a specific internal logic that is not realistic. Many causal linkages are absent leading to policies that cannot be successfully implemented. The causality analysis attempts to identify some of the challenges that could have led to this opinion.

6.3.1.2. Causality

In the context of this analysis, causality refers to the integration and interconnection of policy with institutional budgets, plans and the relationship between the management structures involved in the planning and budgeting processes. In terms of the analysis of the NDP, causality refers to the alignment and integration with the standard planning and budgeting processes and concepts.

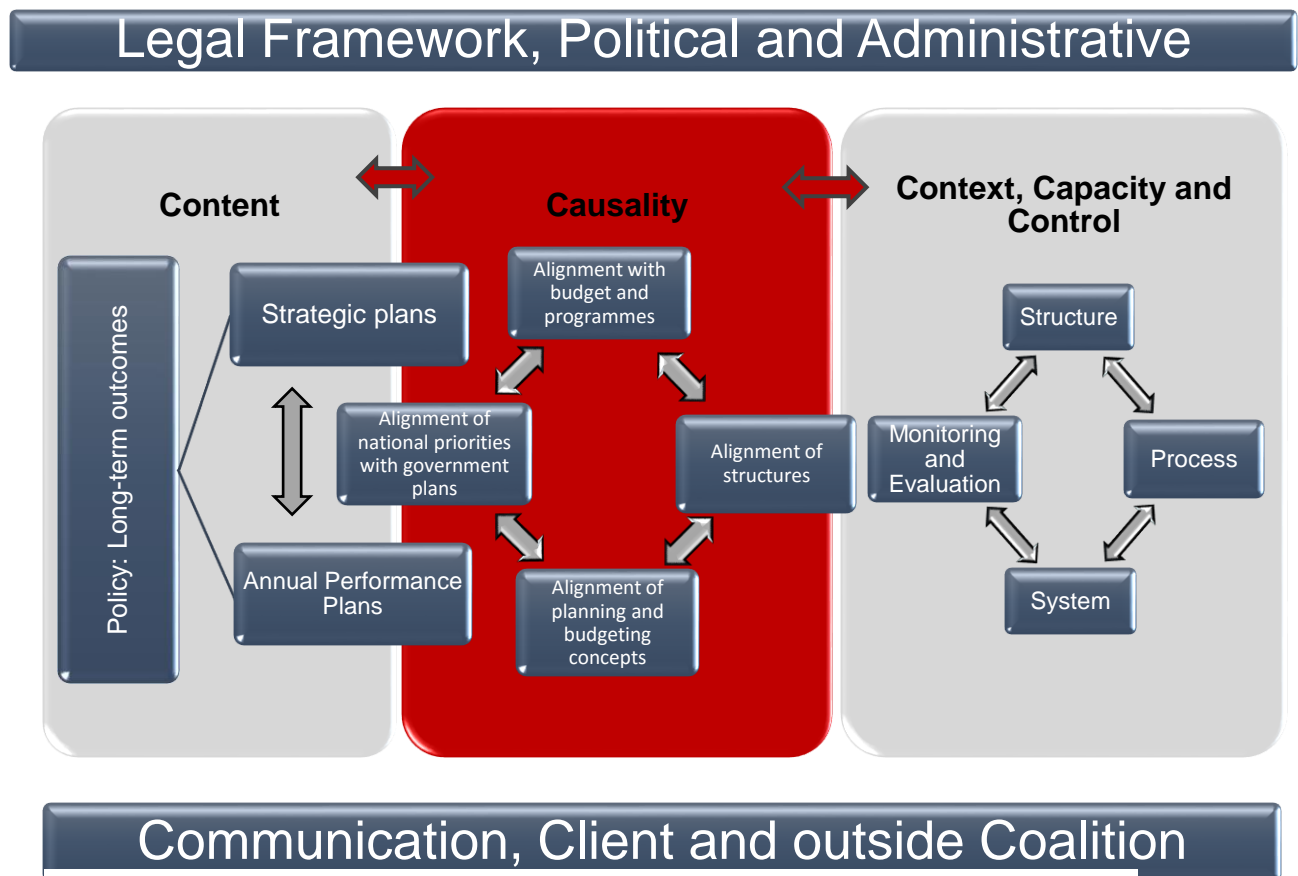
Robinson and Last (2009:5) argue that the planning process needs to be fully integrated into the budget cycle to ensure effective synergy between sectoral plans and performance budgets. National-level planning processes can provide a useful means to coordinate and prioritise sectoral plans around key national priorities. In addition to Robinson and Last (2009:5), Thomas (2011:5-6) argues that national goals must be translated into institutional strategies, making institutions on all levels collectively responsible for achieving results. In terms of this argument by Thomas (2011:5-6), the view is that in applying the programme logic model concepts it is important to ensure a logic flow or alignment between policies and plans.

A theory of change approach as described by Cloete and Auriacombe (2014:90) also assists policymakers and implementers to develop a programme logic model that explains the activities and processes involved in achieving the desired goals and impact of a policy. An assessment of the activities, how they have been implemented and the consequences of the activities will highlight the aspect of the policy process that has worked or not and why. A programme logic model also assumes sequential, linear cause and effect relationships between inputs, activities, outputs, outcomes and impact. Although these models are focused on the content, the approach is seen as relevant to consider within the causality element, because the implementation of the NDP is dependent on the standard government planning and budgeting mechanisms. This view is also supported by RSA (2007a:6) proposing that budgets should be developed in relation to inputs, activities and outputs, while the aim is to manage towards achieving the outcomes and impacts of policy and plans.

The link between the sub-outcomes and outcomes of the 14 national outcomes as well as the relevance of performance indicators to measure the achievement of the national outcomes has been explored as part of the content analysis. The degree of relevance of the indicators gives an indication of whether the correct activities have been undertaken to achieve the policy objectives or, in the case of the NDP, the sub-outcomes and outcomes. Diagram 5.11 shows the elements identified for the analysis to determine causality. The diagram includes the assessment of:

- The alignment of planning and budgeting concepts
- The degree of the incorporation of MTSF indicators into annual performance plans or the alignment of national priorities with government plans
- The suitability of programme structures to provide the legal framework for implementing the national policy priorities
- The alignment of structures (components) involved in the planning, budgeting and reporting processes

Diagram 5.11: Model for policy implementation analysis



Source: Own, based on literature reviewed including previous models and frameworks

In addition to the translation of national goals/outcomes into institutional strategies, Thomas (2011:5-6) notes that in many countries where budget reforms moved towards a medium-term expenditure framework (MTEF), the planning and budgeting components have merged under one institution. It should be recognised that all the components (planning, budgeting, implementation, monitoring and evaluation) of a performance-based public sector management system must work together in an integrated way to deliver and measure the achievement of national outcomes. There is little point in focusing on a single component and leaving the others unable to work in a complementary way. When the integration or relationship of components improve, future decisions are better informed. It should further be accepted that, as a performance-based public sector management system develop, the relationships among these components change and therefore, need to be reassessed periodically.

6.3.1.2.1. Alignment of planning and budgeting concepts

According to McLaughlin and Jordan (1999:65-66) analysts have found a logic model process useful to ensure that the results proposed by a programme address problems appropriate for national/citizen needs. The elements of a logic model are resources, activities, outputs, customers reached, short, intermediate and longer term outcomes and the relevant external influences. In support of McLaughlin and Jordan (1999:65-66), Cloete and Auriacombe (2014:91) describe a programme logic model as an analytical tool used to plan, monitor and evaluate programmes and identify the following elements in a policy intervention:

- The context within which a policy takes place
- Inputs such as funding, people and skills
- Activities that needs to be undertaken
- Outputs
- Outcomes
- Impact

Incorrect assumptions about how these elements link together, could lead to the development of a misinformed evaluation of policy interventions.

The purpose of this section is to eliminate any misunderstanding of the linkages of concepts, due to the use of different (from standard government planning concepts) terminology in the NDP and to ensure the reliability of the assumptions made in terms of the logic flow of concepts. The terminology used in the NDP and MTSF were compared with the terminology used for compiling the different planning, budgeting and reporting documents in the South African public sector. The aim is to determine whether there is a level of alignment between outcomes, actions and performance indicators that are set out in the NDP and MTSF concepts and those a budget programme objective and performance indicator would measure.

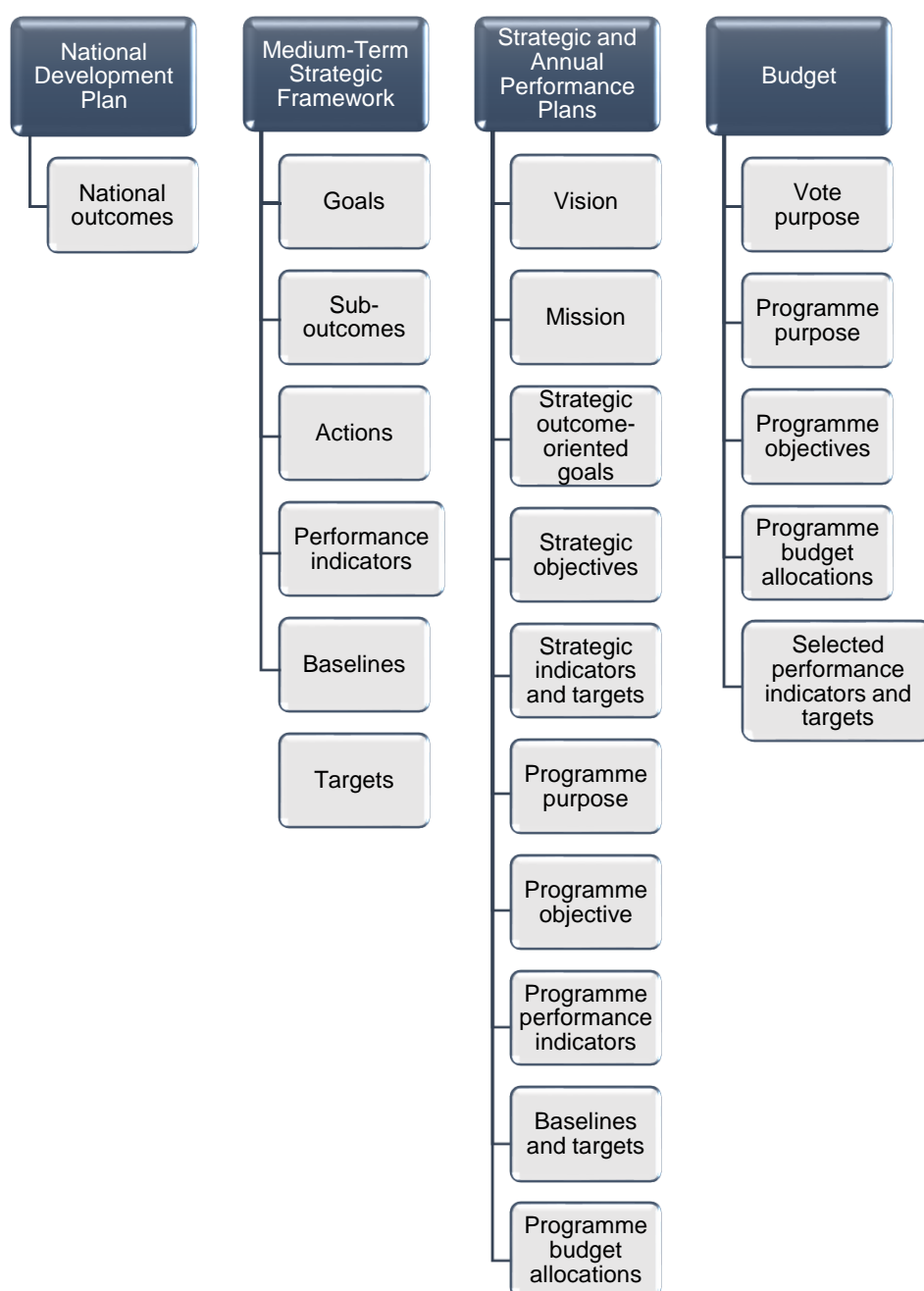
Diagram 6.2 shows the different planning concepts used in the NDP, MTSF and the planning and budgeting concepts in the standard accountability documents produced by the South African government departments and entities. The legal, political and administrative framework for producing these documents is the PFMA, 1999 (Act 1 of 1999) and The Framework for Strategic Plans and Annual Performance Plans (RSA 2010c). From the diagram it is clear that not all NDP and MTSF concepts are comparable with the standard accountability planning and budgeting concepts used in the South African government. The diagram shows the misalignment of concepts are mainly on a strategic level. The operational and reporting concepts such as performance indicators, baselines and targets are similar.

These concepts are well defined (see section 6.4.1) for accountability documents, which formed the basis for a reliable evaluation of the concepts in the MTSF.

In addition to the inconsistencies between documents, the MTSF is also not linked to budget programmes, such as in the case of the standard government documents. (A budget programme funds a clearly defined set of objectives and constitutes a management unit within a department responsible for the delivery of a defined set of services and functions). The absence of budget allocations to the MTSF might be due to the intention of having the MTSF integrated into departmental budgets and plans. Further observations are that inconsistencies in the use of planning and budgeting concepts exist not only between the NDP and MTSF, and the accountability documents, but also between the accountability documents themselves.

Planning documents contain a vision and mission (in some instances also an aim), while the budget contains a vote purpose.

Diagram 6.2: Concepts of the NDP, MTSF and standard accountability documents



Source: Author, from RSA, 2010(c); 2013(a) and 2014(a)

6.3.1.2.2. Alignment of national priorities with government plans

According to the Framework for Strategic Plans and Annual Performance Plans (RSA, 2010c:14), an institution is expected to identify a set of programme performance indicators and targets in its annual performance plan relevant to measuring performance. The key programme performance indicators should be aligned to the national outcome performance indicators that will be monitored. These indicators should link to existing budget baselines of

departments. Based on this requirement of RSA (2010c:14), the alignment of national priorities with government plans has been assessed in terms of the alignment of programme performance indicators with national performance indicators.

In line with the requirements for annual performance plans, the NDP requires the incorporation of its priorities into the existing activities of departments and disaggregated into the short- and medium-term plans of government at national, provincial and municipal levels. This incorporation would ensure funding and regular reporting and monitoring through the standard planning, budgeting and reporting systems in government.

The purpose of the analysis is to determine whether the performance indicators developed to track performance on the MTSF sub-outcomes, are incorporated into the relevant departmental APPs (see Appendix E for a representative sample).

The programme performance indicators in the 2016/17 and 2017/18 departmental Annual Performance Plans (APPs) (see Appendix G for a representative sample) of relevant departments contributing to the respective national outcomes in the MTSF (see Appendix D for a representative sample) were assessed and compared against the performance indicators contributing to the respective MTSF sub-outcomes.

Table 6.2 shows the percentage of MTSF performance indicators that were reflected in the APPs of relevant departments (2016/17* (in some instances) and 2017/18). In total 36 per cent of MTSF performance indicators were incorporated into APPs of relevant departments.

Table 6.2. Percentage of MTSF performance indicators incorporated in APPs

Outcome	Percentage of MTSF indicators reflected in APPs
Outcome 1: Quality basic education	25%
Outcome 2: A Long and healthy life for all South Africans	47%
Outcome 3: All people in South Africa are and feel safe	62%
Outcome 4: Decent employment through inclusive economic growth	36%
Outcome 5: A skilled and capable workforce to support an inclusive growth path	16%
Outcome 6: An efficient, competitive and responsive economic infrastructure network	33%
Outcome 7: Comprehensive rural development and land reform	31%
Outcome 8: Human settlements	25%
Outcome 9: Responsive, accountable, effective and efficient developmental local government system	22%
Outcome 10: Protect and enhance our environmental assets and natural resources	37%
Outcome 13: An inclusive and responsive social protection system	53%
Outcome 14: Nation building and social cohesion	30%
Average	36%

Source: Author, based on Annual Performance Plans of National Departments and RSA, 2014(a)

The lowest proportion of MTSF indicators incorporated into APPs (16%) were found in the relevant APPs contributing to outcome 5: “A skilled and capable workforce to support an inclusive growth path”, followed by outcome 9: “Responsive, accountable, effective and efficient developmental local government system” with a 22 per cent incorporation.

The APPs for the departments responsible for the implementation of outcome 3: “All people in South Africa are and feel safe” reflects the highest proportion (62%) of incorporation within the respective departmental APPs.

An observation from the assessment of the performance indicators is the possible misinterpretation of ‘alignment’. In some instances, programme performance indicators are differently stated to the national performance indicators. These indicators are regarded by government institutions/departments as aligned to the NDP performance indicators. To avoid any misinterpretation, the assessment for incorporation of the NDP into government APPs only considered NDP performance indicators that are exactly the same in the APPs. The analysis of outcome 2: A long and healthy life for all South Africans is attached (Appendix E)

6.3.1.2.3. Suitability of programme structures for policy implementation

The Framework for Strategic Plans and Annual Performance Plans (RSA, 2010c:3) explains that “budget programme structures (see Appendix E for a representative sample) provide the key link between an institution’s objectives and its detailed operational budgets. To provide this link, the budget programme structure (programmes and sub-programmes) should reflect the main areas of responsibility or service delivery within an institution’s legal mandate”. The intention of a purpose statement of a budget programme is to demarcate, in the appropriation law, for what purpose funds are to be used.

The budget programme structure further provides a stable framework, linking policy, plans and strategic priorities to budget allocations and performance indicators that track delivery over the medium to long term. When government adopts a new policy, influencing the mandate of a department, the budget programme structure may need to be modified. In many instances, however, new policy initiatives relate to existing activities (measured by performance indicators) that already are reflected or can be accommodated in the existing budget programme structure.

Furthermore, programmes provide an important mechanism for organising budgets, service delivery and performance of functions within departments. High-level priorities such as the national outcomes, however, depend on implementation by individual departments or the coordination of activities of several departments. These priorities should, therefore, be

reflected within departmental programmes to ensure funding, human resources and for respective managers to take accountability for the implementation of such priorities.

The aim of this assessment is to identify the suitability and legality of the budget programmes for the implementation of the MTSF sub-outcomes linked to the national outcomes. The method for assessing the suitability of the programme structures comprises a comparison of the MTSF sub-outcomes with the purposes of relevant departmental budget programmes.

The assessment of the integration of the NDP performance indicators into departmental APPs required the mapping of the MTSF sub-outcome ‘objectives’ (not specifically stated as objectives in the MTSF) and performance indicators against the budget programme purposes and programme performance indicators (see Appendix E for a representative sample). Subsequent to the assessment of the integration of the NDP performance indicators with departmental APPs, the sub-outcome ‘objectives’ were evaluated against the purpose of the budget programme to which the NDP performance indicator was linked. This assessment showed that not all departmental programme structures provide the legal framework for the implementation of the specific NDP requirements. It should be noted that the methodology for the assessment of the suitability of the budget programmes could be subjective.

The assessment shows that the programme structures of the following contributing departments do not provide the legal framework for specific requirements of:

- Outcome 1: The programme structure of the Department of Basic Education does not allow for the provisioning of improved Grade R and the extension of early childhood development, for example.
- Outcome 9: The programme structure of the Department of Cooperative Governance and Traditional Affairs does not provide for the reporting on sustainable and reliable access to basic services as recommended by the NDP.
- Outcome 10: The programme structures of the departments of Environmental Affairs, Energy and Cooperative Governance and Traditional Affairs do not provide for the reporting on the development of sustainable communities as required by the NDP.

A further observation is the wide variety of functions consolidated within one programme as well as the misalignment of programme structures (although typically due to differences in the mandates) between national and provincial departments. This phenomenon might, however, affect oversight as well as the effectiveness of service delivery. One example is the National Department of Health, which is responsible for outcome 2: “A long and healthy life for all South Africans” [see Appendix B: Comparison of programme structures and purposes between the National Department of Health and the Provincial Department of Health (Western Cape)].

6.3.1.2.4. Alignment of planning and budgeting structures

Thomas (2011:5-6) argues that national goals must be translated into institutional strategies, making institutions on all levels collectively responsible for achieving results. In many countries where budget reforms have moved towards a medium-term expenditure framework (MTEF), the planning and budgeting components have merged under one institution. Robinson and Last (2009:5) are also of the view that the planning process needs to be fully integrated into the budget cycle to ensure effective synergy between sectoral plans and performance budgets. In addition to Thomas (2011:5-6) and Robinson and Last (2009:5) Görgens and Kusek (2009:64) find that it is important for the monitoring and evaluation function to work collaboratively with the planning and budgeting functions

In support of Thomas (2011:5-6) and Robinson and Last (2009:5), the Framework for Strategic and Annual Performance Plans (RSA, 2010c:3) promotes consistency between plans and budgets to improve operational effectiveness. The alignment of budget plans with strategic plans is imperative to ensure that key objectives and priorities are budgeted for and achieved. However, there is an inherent tension between strategic planning and budgeting, which often makes it difficult to achieve the desired level of integration. While budgets tend to focus on the short-term perspective (the next financial year, and the MTEF), planning generally takes a longer view (five to twenty years).

Regardless of the global notion to merge planning and budgeting structures, South Africa established a National Planning Commission (NPC) in the Department of Planning Monitoring and Evaluation (DPME) in 2010. The NPC is an independent body and is, according to RSA (2010c:2), responsible for effective planning and coordination of government policies. On the other hand, the National Treasury is responsible for managing South Africa's public finances and share the monitoring and evaluation function with the DPME. According to section 6(1) of the PFMA, 1999 (Act 1 of 1999) the National Treasury is mandated, among others:

- To promote government's fiscal policy framework
- To coordinate macroeconomic policy and intergovernmental financial relations
- To manage the budget preparation process
- To facilitate the division of revenue act, which provides for an equitable distribution of nationally raised revenue between national, provincial and local government
- To monitor the implementation of provincial budgets

Irrespective of the identified structural arrangements of the planning and budgeting functions in South Africa, an analysis was done to evaluate the alignment of planning and budgeting management structures.

According to RSA (2019: i) budget discussions take place in technical groups within a budget function group. Budget function groups are made up of various institutions across the three spheres of government, grouped together according to the objectives or activities they are mandated to perform. Different programmes within the same department may be categorised across different functions depending on their assigned tasks.

The budget function groups are strategically grouped to facilitate subject-specific discussions targeting service delivery requirements and policy priorities as provided by the NDP, 2014–2019 electoral mandate of the ruling party and the 14 key national outcomes, of which the associated activities and targets are elaborated on in the 2014–2019 MTSF. Performance dialogues, convened by the Department of Planning, Monitoring and Evaluation together with the departmental technical groups or functional stakeholders, may be held during the budget process (RSA 2018c:13).

According to the MTSF (RSA, 2014a:2), each national outcome is coordinated by a coordinating department and identified contributing departments and other government entities/institutions responsible for the MTSF activities geared towards achieving the national outcome.

The method used to determine the alignment of the coordination, planning and budgeting structures consists of two parts. The first part consists of the assessment of the framework of the budget function groups as presented in the 2018 Estimates of National Expenditure (RSA, 2018a: ii-iii). To get a sense of the alignment, the number of departments within a budget function group were counted and compared with the number of national departments responsible for the implementation of the respective outcomes of the MTSF. The second part consists of an assessment of the alignment of the NDP national outcomes with the visions of departments and the budget vote purposes of the lead departments for the national outcomes.

Table 6.3 shows the number of national departments that contribute to the NDP national outcomes and the number of national departments, within a consolidated budget function group, linked to a national outcome. A budget function group finances the mandates of departments including the requirements of the NDP. In addition to the numbers, the comparison of budget function groups contributing to the NDP national outcomes as per the National Treasury categorisation (RSA 2018a: ii-iii), with the management structures for the implementation of the NDP shows that these structures do not always comprise the same departments.

It should be noted that the numbers, however, only give a broad indication of the alignment of the NDP management structures with budget function groups. These numbers should be read with the details of the departments and entities/institutions linked to the numbers.

For example, the budget function group linked to Community Development consists of Cooperative Governance and Traditional Affairs (limited to conditional grant and urban development programmes), Human Settlements, Water and Sanitation (water services), Transport and Energy, which links to national outcomes 8 and 9. The management for the implementation of outcomes 8: “Human Settlements” and 9: “Responsive, accountable, effective and efficient developmental local government” consists of the departments of Human Settlements; Cooperative Governance and Traditional Affairs and municipalities; Water and Sanitation; Energy; Rural Development and Land Reforms; Environmental Affairs; Economic Development; Trade and Industry; Agriculture, Forestry and Fisheries; Public Works; Mineral Resources; and National Treasury. The latter nine departments have NDP implementation responsibilities for outcomes 8 and 9 without being linked to the budget function group.

Table 6.3. Number of departments funded and number of departments managing the implementation of the 14 national outcomes

National Outcomes	Lead Department	Number of Departments responsible for the implementation	Budget Function Groups	Number of Departments in the Budget Function Group
Outcome 1: Quality Basic Education	Basic Education	3	1: Learning and Culture	4
Outcome 5: A skilled and capable workforce to support an inclusive growth path	Higher Education and Training	3		
Outcome 14: Nation Building and Social Cohesion Alignment and Progress	Arts and Culture	9		
Outcome 2: A Long and Healthy Life for All South Africans	Health	5	2: Health	1
Outcome 3: All people in South Africa are and feel safe	Defence and Military Veterans/Police	10	4: Peace and Security	9
Outcome 4: Decent employment through inclusive economic growth	Trade and Industry	11	5: Economic Development	18
Outcome 6: An efficient, competitive and responsive economic infrastructure network	Economic Development	13		
Outcome 7: Comprehensive rural development and land reform	Rural Development and Land Reform	19		
Outcome 10: Protect and Enhance Our Environmental Assets and Natural Resources	Environmental Affairs	10		
Outcome 8: Human Settlements	Human Settlements	3	6: Community Development	5
Outcome 9: Responsive, accountable, effective and efficient developmental local government system	Cooperative governance and Traditional Affairs	13		
Outcome 11: Create a better South Africa, contribute to a better and safer Africa in a better world	International Relations and Cooperation, and Trade and Industry	9	7: General Public Service	13
Outcome 12: An efficient, effective and development-oriented public service	Public Service and Administration	6		
Outcome 13: An inclusive and responsive social protection system	Social Development	1	3: Social Development	1

Source: Author, based on data from RSA, 2014(a), and 2018(a): ii-iii

A further observation is that linking more than one national outcome to a budget function group complicates the alignment even further. The perception of the misalignment of the management of the NDP outcomes and the alignment of the budget with the NDP outcomes creates the impression that a department or entity/institution is funded to perform activities contributing to a national outcome, while no responsibilities have been allocated to that specific department in terms of the NDP requirements. The inverse of this perception is that departments are not funded (regularly given as a reason for non-performance) to perform activities contributing to a national outcome. This phenomenon together with the suitability of programme structures could result in key activities not being performed.

The second part of the analysis aims to determine the logic flow between the national outcomes and the mandate of lead departments.

The assessment is based on the interpretation of the requirements for the development of a vision and purpose of a vote. According to RSA (2010c:12) a vision is “an inspiring picture of a preferred future. It is not time-bound and serves as a foundation for all policy development and planning, including strategic planning. It should be specific to the institution but linked to the overall vision of a particular sector or cluster”. According to RSA (2019: xxx), the purpose of a vote “captures a department’s mandate, objectives or administrative functions”.

The visions of the lead departments and the purpose of the budget votes were evaluated against the sub-outcomes per national outcome. Table 6.4 shows the alignment of the vision and purpose of the lead department/budget vote with the outcomes. Three of the visions of lead departments and 11 purposes of votes could be linked to the contributions of a cluster of departments to an outcome.

Table 6.4. Alignment of planning and budgeting strategic concepts of lead departments with the sub-outcomes of the MTSF

Outcome	Lead Department	Vision	Purpose of the vote
Outcome 1: Quality Basic Education	Basic Education	X	√
Outcome 2: A Long and Healthy Life for All South Africans	Health	X	√
Outcome 3: All people in South Africa are and feel safe	Defence and Military Veterans	X	X
Outcome 4: Decent employment through inclusive economic growth	Trade and Industry	√	√
Outcome 5: A skilled and capable workforce to support an inclusive growth path	Higher Education	X	√
Outcome 6: An efficient, competitive and responsive economic infrastructure network	Presidential Infrastructure Coordinating Commission	X	X
Outcome 7: Comprehensive rural development and land reform	Rural Development and Land Reform	X	√
Outcome 8: Human Settlements	Human Settlements	X	√
Outcome 9: Responsive, accountable, effective and efficient developmental local government system	Cooperative Governance and Traditional Affairs	√	√
Outcome 10: Protect and Enhance Our Environmental Assets and Natural Resources	Environmental Affairs	X	√
Outcome 11: Create a better South Africa, contribute to a better and safer Africa in a better world	International Relations and Cooperation	√	X
Outcome 12: An efficient, effective and development-oriented public service	Public Service and Administration	X	√
Outcome 13: An inclusive and responsive social protection system	Social Development	X	√
Outcome 14: Nation Building and Social Cohesion Alignment and Progress	Arts and Culture	X	√
Total		3	11

Source: Author, based on 2014–2019 MTSF, APPs of National Departments and Departmental Budgets

The analysis shows that the respective visions and purposes of vote 1: The Presidency and vote 19: Defence and Military Veterans could not be linked to the contributions of the respective clusters of departments responsible for outcome 6: “An efficient, competitive and responsive economic infrastructure network” and outcome 3: “All people in South Africa are and feel safe”.

The observation from this analysis is that the Presidency and the Department of Defence and Military Veterans might not be the relevant departments to coordinate outcomes 6 and 3.

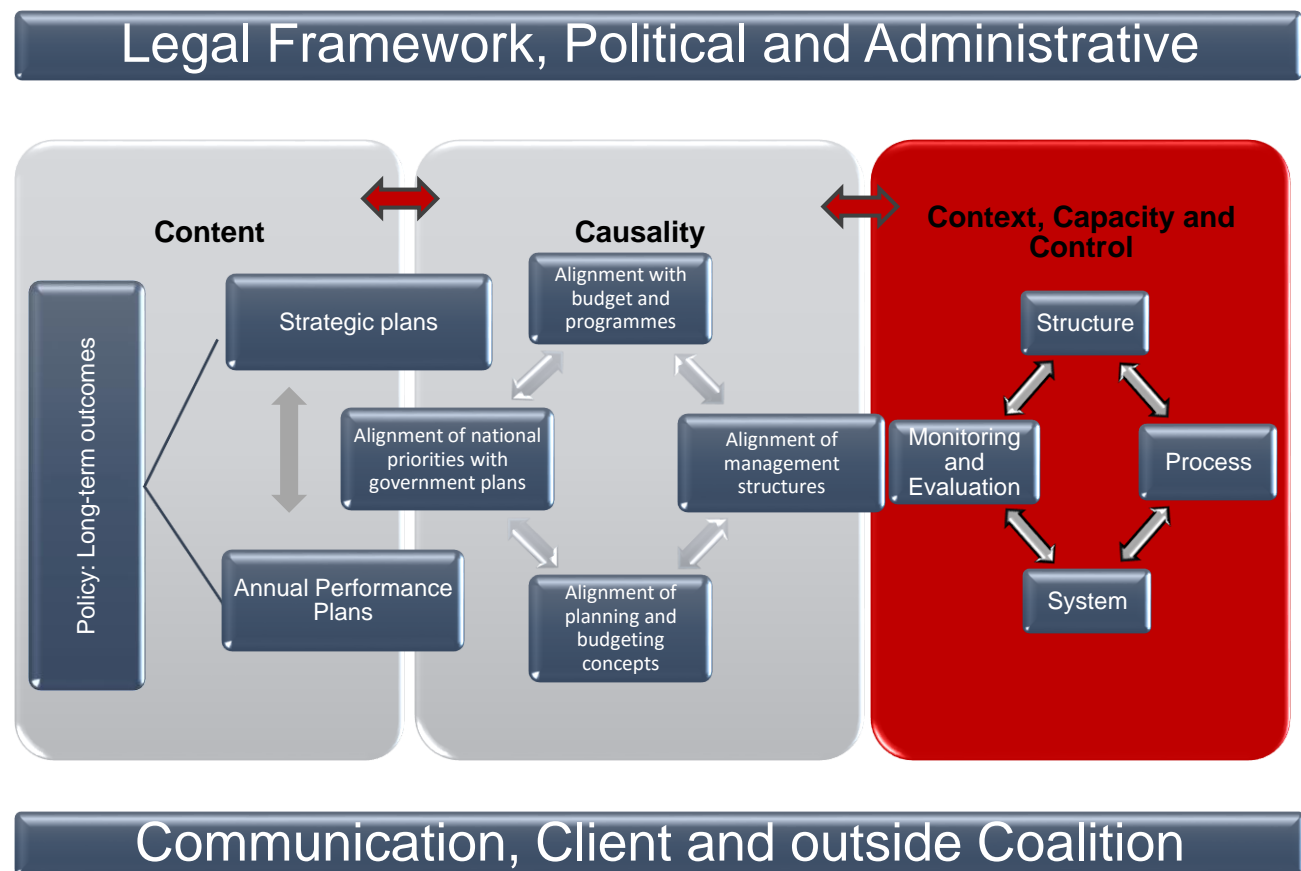
6.3.1.3. Context, capacity and control

Grindle (1980:3) believes that policy implementation involves more than the mechanical translation of goals into routine procedures. The context and capacity factors of the proposed policy implementation model, therefore, includes the analysis of administrative and management mechanisms that provide the operational environment in terms of structures, processes and systems for policy implementation.

In addition to Grindle (1980:3), Peters (2015:133-134) argues that performance measurement and management provide instruments to regularly assess public sector performance. Regular feedback to administrators and politicians assists management to ensure successful production of results. Nevertheless, good management and well-designed policies can still fail. There may be other elements within the organisation, and in the relationship with other institutions that can prevent policy success. A control factor, therefore, forms part of the proposed policy implementation model. Control refers to monitoring as a management function and external oversight. This function includes monitoring and evaluation as well as policy review.

In addition to the consideration of the views of Grindle (1980:3) and Peters (2015:133-134), the elements of these factors, identified by Ile, Eresia-Eke and Allen-Ile (2012:34-35), also influenced the determination of the elements for the analysis. The elements identified by Ile, Eresia-Eke and Allen-Ile (2012:34-35) include the availability of human resources and budgets, clearly stated time frames for deliverables, adequate logistical needs, adequate information sharing, availability of relevant information systems, compliance of processes and practice to policies, and clear reporting and communication. In considering these types of elements, the processes, structures, systems and oversight mechanisms available for the implementation of the NDP have been examined. The last column of the proposed model for policy implementation analysis illustrates the elements of the analysis of the context, capacity and control factors.

Diagram 5.11: Model for policy implementation analysis



Source: Own, based on literature reviewed including previous models and frameworks

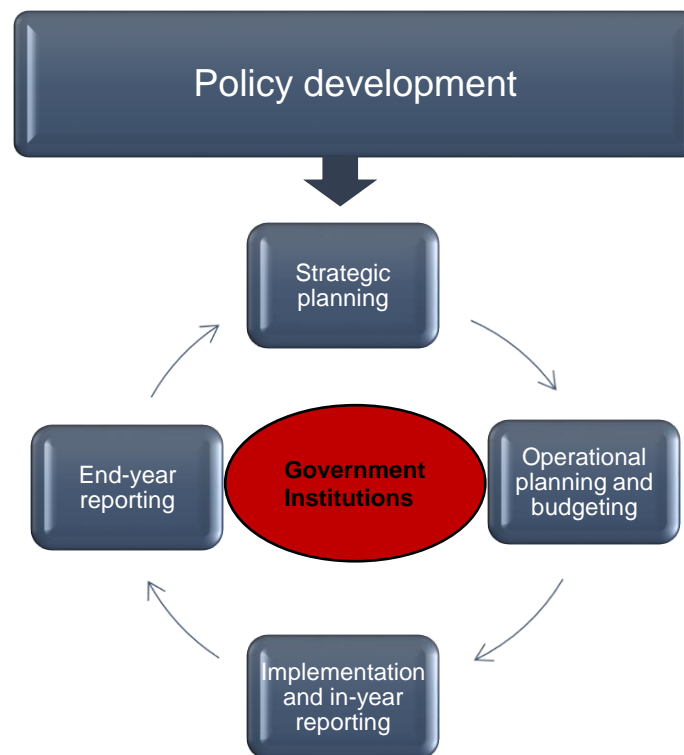
6.3.1.3.1. Process

The purpose of this section is to explore the legal requirements for the use of relevant information systems or processes for reporting on performance information, including reporting on the NDP, in the public sector.

The Framework for Managing Programme Performance Information (RSA 2007a:2, 4) notes that, policy initiatives and legal requirements have been introduced in the South African public sector, in specific, to ensure the more efficient use of resources. These initiatives include the integration of performance concepts from planning documents and the Estimates of National Expenditure (ENE) and other budget documents. The legal framework is provided by the PFMA, 1999, the Municipal Finance Management Act (MFMA) (2003), the Public Service Act (1994 as amended) and associated regulations and guidelines. These Acts have enhanced control over public expenditure and empowered public sector managers to manage the planning, budgeting and reporting processes. The legal framework further emphasises that the executive is accountable to the relevant elected representative bodies for the entire

process. Regular and complete reporting are required at each stage of the policy process. Although performance information is reported publicly during the final stage of the process (Annual Reports), the development of performance information begins when policies are being formulated, and continues through each of the planning, budgeting, implementation and reporting stages. Diagram 6.3 shows the relationship between the planning, budgeting and reporting cycle with policy development and oversight.

Diagram 6.3: Planning, budgeting and reporting process for all government institutions



Source: RSA (2007a:4)

The Framework for Managing Programme Performance Information (RSA, 2007a:5) recognises policies as accountability documents. This recognition necessitates regular reporting to oversight bodies. In specific to Parliament, provincial legislatures, municipal councils and the public to track government performance, and to hold government accountable for service delivery. The collection and reporting on performance information also assist managers at each stage of the planning, budgeting and reporting cycle to implement a results-based approach to managing service delivery. The approach; therefore, makes sure that the focus of planning and managing is on the achievement of results.

The status of reporting on the implementation of the NDP and the process or systems used to collect data were assessed from the Programme of Action report for the fourth quarter of 2017/18. A simple count of the reporting on targets and the indication of processes and systems provided the results as shown in table 6.5. The analyses show that performance

information on 92 per cent (see note) of targets was submitted and that 19 per cent of performance indicators are linked to a specific process or system to collect performance information/data. All other data are gathered from standard administrative information.

Table 6.5. Reporting on the 2014–2019 Medium-Term Strategic Framework

Outcome	Percentage of reporting on targets in 2017/18	Percentage of Indicators linked to a system or process
Outcome 1: Quality Basic Education	100%	39%
Outcome 2: A Long and Healthy Life for All South Africans	100%	58%
Outcome 3: All people in South Africa are and feel safe	99%	27%
Outcome 4: Decent employment through inclusive economic growth	95%	6%
Outcome 5: A skilled and capable workforce to support an inclusive growth path	86%	29%
Outcome 6: An efficient, competitive and responsive economic infrastructure network	97%	0%
Outcome 7: Comprehensive rural development and land reform	98%	0%
Outcome 8: Human Settlements		6%
Outcome 9: Responsive, accountable, effective and efficient developmental local government system		25%
Outcome 10: Protect and Enhance Our Environmental Assets and Natural Resources	94%	27%
Outcome 11: Create a better South Africa, contribute to a better and safer Africa in a better world	100%	8%
Outcome 12: An efficient, effective and development-oriented public service	74%	7%
Outcome 13: An inclusive and responsive social protection system	78%	17%
Outcome 14: Nation Building and Social Cohesion Alignment and Progress	76%	0%
Total	92%	19%

Data source: Author, from Department of Planning, Monitoring and Evaluation data

Note: Reporting in all four quarters was considered individually and regarded as reported, on a target for the financial year, even if reporting occurred in one quarter only.

A further observation is that reporting is uneven between the outcomes. The percentage of compliance in terms of reporting on targets ranges from 74 per cent to 100 per cent. There is further no correlation between the availability of a system or process and the submission of data. The collection of data on performance indicators linked to a specific process or system ranges from 6 to 58 per cent. Only in one out of nine cases, with reporting on indicators of above 85 per cent, are 50 per cent of the indicators linked to a system. In 4 out of the 9 cases of reporting above 85 per cent, between zero and 8 per cent of indicators are linked to a system or process and in the remaining 4 cases, between 25 and 40 per cent of indicators are linked to a system or process.

6.3.1.3.2. Structures

According to Grindle (1980:6-7), policy implementation as a general process of administrative action can be investigated at programme level. The process of implementation, however, can only begin when goals and objectives have been translated into capacitated programmes, which are the basic requirements for executing any public policy. This suggestion by Grindle (1980:6-7) has been assessed in terms of the suitability of government's programme structures for the implementation of the NDP. This analysis, however, only determined the availability of the structures and not the capacity required for policy implementation.

The purpose of this section is, therefore, to determine whether the legal framework for the creation of structures also provides for the creation of capacity for policy implementation in the South African public sector.

The purpose of a programme, as described by the Guidelines on Budget Programmes (RSA, 2010b:1-3), is to link the allocation of funds to the performance of specific functions or the delivery of a particular category of services within a department's mandate. The use of programmes should provide for suitably scoped, sized, resourced and empowered units within departments to facilitate economical, efficient, effective and equitable performance and delivery of services.

According to the guidelines (RSA, 2010b:1-3), a budget programme structure provides for:

- “The linkage between the planned priorities and the allocation and appropriation of funds through the budget;
- An appropriate basis for the allocation of costs of the delivery of public services and performance and where appropriate, standardised costing of specific items across different spending areas;
- A management unit within which managers in government departments can effectively manage financial and other resources to maximise the achievement of government objectives;
- A framework within which managers are responsible for budget execution and cost-effective achievement of results through greater transparency and accountability”.

The observation is that, if a programme structure is designed according to the legal requirements, it will provide for the relevant capacity (such as a management unit, funding, staff, action and systems) required for policy implementation.

The assessment of the sufficiency of the current programme structures in the South African government for the implementation of the NDP is beyond the objectives of this research. Further research is, however, required to determine the full capacity of the relevant programmes.

6.3.1.3.3. Systems

The purpose of this section is to determine the system in use for the implementation of the NDP and compare it with the system introduced by the PFMA, 1999 (Act 1 of 1999) for policy implementation in the South African public sector.

The Framework for Managing Programme Performance Information (RSA, 2007a:13-14) explains that effective management of performance information requires a clear understanding of different responsibilities and the structures and systems involved in managing performance. A Performance information system should be integrated within existing operational mechanisms. The accounting officer or head official of an institution is responsible for ensuring that the institution has, among others:

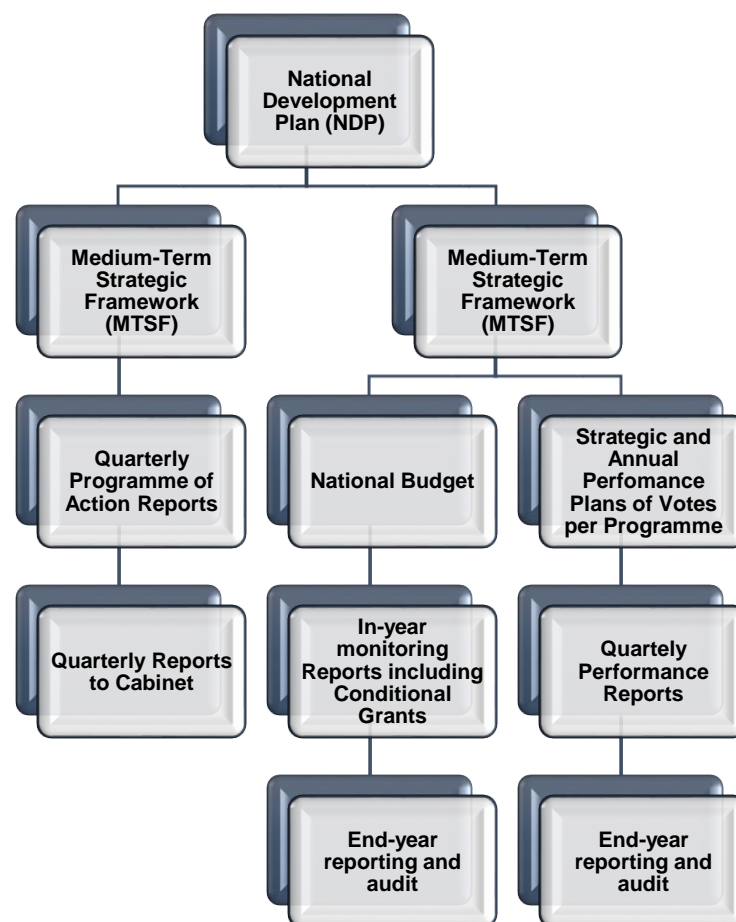
- Documented procedures for the following:
 - Integration of a performance management system into existing management mechanisms
 - Defining and technically describing the performance information concepts and data collected by the institution
 - Identifying, collecting, collating, verifying and storing of performance data
 - Monitoring, evaluating and reviewing to ensure results
 - Publication of performance information
- Appropriate systems to collect, collate, verify and store the information
- A set of well-defined and relevant performance indicators for monitoring service delivery

The responsibility for the coordination of planning and reporting in government, is a joint function between the National Treasury and the Department of Planning, Monitoring and Evaluation.

The Framework for Strategic Plans and Annual Performance Plans (RSA, 2010c:8-9) explains that the quarterly performance reporting system, as part of the legal framework for performance management in the public sector, provides a system for regular progress updates on the implementation of an institution's Annual Performance Plan in the previous quarter. The purpose of these reports is to monitor delivery against quarterly performance targets. Quarterly performance reports are ultimately consolidated into an Annual Report. The Annual Report provides the audited performance information relative to the targets set in the Annual Performance Plan. Monthly reporting on the implementation of the budget ensures regular monitoring, while end-year reporting is made through annual financial statements, which are included in the annual report.

The Programme of Action (POA) report (see Appendix F for a representative sample) measures the implementation of the National Development Plan (NDP) through the Medium-Term Strategic Framework (MTSF) (see Appendix D for a representative sample). A website for the POA reports is managed by the Department of Planning, Monitoring and Evaluation (DPME). It provides progress made on the implementation of the NDP measured against targets set out in the 14 national outcomes. The POA is updated on a quarterly basis with progress reports as provided to Cabinet by the implementing departments for the 14 outcomes. Diagram 6.4 compares the system for performance reporting on the NDP and other accountability documents in government.

Diagram 6.4: Relationship between the performance reporting system for the NDP and other accountability documents



Source: Author, from literature reviewed

The comparison of the systems for reporting on the NDP and the standard government processes shows that reporting on the NDP includes:

- Development of the MTSF including all national outcomes
- Quarterly Programme of Action reports on the MTSF

- Quarterly reports to Cabinet

Standard public sector processes

- Budget documentation per department and programme, in-year reporting on expenditure per department and programmes coordinated by the National Treasury
- Planning documentation per department and programmes, quarterly performance reporting per department and programmes coordinated by the DPME and partial involvement of the National Treasury
- Audited end-year reporting on the budget and plans

From the comparison it is identified that two separate systems are available for the implementation of the NDP. The challenge, therefore, for policy implementation is the relationship between planning, budgeting and reporting in the performance management system. In instances where the performance information of the NDP is not incorporated within the processes and systems introduced in the public sector, it might not be prioritised for action, funding and implementation. In addition, the omission of end-year reporting and auditing in the system introduced for reporting on the NDP compromises accountability.

The view of one of the peer reviewers is that the finding that the NDP does not come through in the routine system, is not a reflection of the system not being right, but rather a reflection of the lack of political will to use the system.

6.3.1.3.4. Monitoring and Evaluation

The purpose of this section is to determine the progress made since 2014/15 with the implementation of the NDP. This involves the monitoring of the achievements of annual targets set in the 2014–19 MTSF.

Ile, Eresia-Eke and Allen-Ile (2012:76) explain that what is planned is not always what is realised. This phenomenon could be due to, among other reasons, weak policy design or poor policy implementation. The control function determines whether performance indicator targets have been achieved or not. Controlling suggests a form of comparison before effective remedial control can be established. Comparing what has been done with what was expected to have been done is an act of monitoring. The determination of the reasons for any differences between what was expected and what was realised is an act of evaluation. Monitoring and evaluation are tools of the control function. This function assists managers and organisations to improve performance in a sense to realise goals and objectives for which activities were undertaken and resources consumed. Current trends are towards results-based management approaches. These approaches have been introduced in the South African government.

According to the Guidelines on Budget Programmes (RSA, 2010c:1), “the outcomes-orientated monitoring and evaluation approach of government shifts the focus to results-based management. This life-cycle approach integrates strategy, people, resources, processes and measurements to improve decision-making, transparency and accountability. Results-based management also involves monitoring, evaluation and reporting on results through the development and provision of integrated financial and non-financial information”.

The monitoring of the implementation of the NDP since its inception involves the comparison of the set targets with the actual outcomes reported. Table 6.6 shows the number of targets achieved against the number of targets set per sub-outcome, as reported in the POA reports at the end of the 2014/15 and 2017/18 financial years respectively.

Table 6.6. Percentage of targets achieved per NDP outcome

Outcome	% Achieved 2014/15	Number of Targets	Targets Achieved	% Achieved 2017/18	Targets Partially Achieved	% Partially Achieved 2017/18
Outcome 1: Quality Basic Education	37%	25	10	40%	7	28%
Outcome 2: A Long and Healthy Life for All South Africans	45%	24	13	54%	3	13%
Outcome 3: All people in South Africa are and feel safe	29%	70	56	80%		0%
Outcome 4: Decent employment through inclusive economic growth	45%	56	33	59%	3	5%
Outcome 5: A skilled and capable workforce to support an inclusive growth path	52%	8	5	63%		0%
Outcome 6: An efficient, competitive and responsive economic infrastructure network	46%	38	27	71%	1	3%
Outcome 7: Comprehensive rural development and land reform	0%	47	33	70%	1	2%
Outcome 8: Human Settlements	13%	0				
Outcome 9: Responsive, accountable, effective and efficient developmental local government system	64%	0				
Outcome 10: Protect and Enhance Our Environmental Assets and Natural Resources	29%	55	40	73%	7	13%
Outcome 11: Create a better South Africa, contribute to a better and safer Africa in a better world	44%	34	21	62%		0%
Outcome 12: An efficient, effective and development-oriented public service	39%	24	21	88%	1	4%
Outcome 13: An inclusive and responsive social protection system	40%	69	49	71%	5	7%
Outcome 14: Nation Building and Social Cohesion Alignment and Progress	42%	37	34	92%	1	3%
Total	38%	487	342	70%	29	6%

Source: Author, from Department of Planning, Monitoring and Evaluation data

Findings and observations are that:

The 2014–2019 MTSF set 567 targets for the 2014/15 financial year of which 38 per cent had been achieved by the end of the financial year. Performance on targets in 2014/15 was affected by the following:

- In cases where progress could not be linked to the target, performance was considered as not achieved.
- In cases where no progress reports were received, progress was also considered as not achieved.
- In some cases, progress on quantitative targets were presented as narratives, which made evaluation on progress open to subjectivity.
- In some instances, targets and progress were duplicated for several performance indicators.
- The Programme of Action report was not structured according to quarters.

A total of 487 targets were set for 2017/18 of which 70 per cent were achieved. In specific cases where numerical targets were set for 2017/18, achievements above 50 per cent of the set target were reported as partially achieved. An additional 6 per cent of targets were partially achieved in 2017/18.

The poorest performing outcome was Outcome 1: “Quality basic education” – 40 per cent of the targets in 2017/18 achieved; followed by Outcome 2: “A long and healthy life for all South Africans” and Outcome 4: “Decent employment through inclusive economic growth” – 54 and 59 per cent respectively. The best performing outcome in 2017/18 was Outcome 14: “Nation building and social cohesion”, which achieved 92 per cent of the targets set. This outcome also showed a large improvement of 50 percentage points since 2014/15.

Overall performance improved from 38 per cent in 2014/15 to 70 per cent in 2017/18. The following changes to the quality of the reporting were found since the 2014/15 assessment:

- Progress reports could be linked to the targets
- Completeness of data
- Reports on numerical targets included a numerical value as well as a narrative description
- Less duplication of data for different targets
- The report was structured according to quarters

The improvement in compliance and quality of reporting could be the main driver for the progress made with implementation of the 2014–2019 MTSF.

6.4. Summary

Globally, governments are increasingly under pressure to demonstrate results to electorates, who want to see the actual outcomes and impact of public expenditure.

In response to this trend the South African government introduced comprehensive public financial management reforms. In addition to these reforms government, through an outcomes-based approach, also intends to measure the performance on various elements of the performance management system. These elements range from planning, budgeting, outputs, outcomes and impact.

The successful implementation of the National Development Plan (NDP), is dependent on the functioning of the elements of the performance management system in the South African government as well as the integration of the NDP into this system.

The main purpose of this chapter was to determine what the performance management systems in the South African public sector involves and the degree of integration of the requirements of the NDP into these systems. The proposed model for policy implementation analysis (from chapter 5) is applied to the NDP and includes an analysis of the content, causality, context, capacity and control. The findings and observations on these elements are as follows:

The observation on the content of the 2014–2019 MTSF, the implementation plan for the NDP, is that not all planning concepts are in line with the planning concepts of the standard accountability documents of government. The performance indicators mainly relate to the mandate of the national sphere of government and are, therefore, not appropriate for measuring performance on the whole of government's contributions to the implementation of the NDP. In certain instances, baselines for performance indicators are not provided. The omission of baselines makes a credible performance evaluation impossible and also questions the reliability of such performance indicators. If this requirement was strictly applied with the relevance of performance indicators, the quality of the performance indicators would be 27 per cent less than the 87 per cent found from the analysis.

During the evaluation of the performance indicators it was also observed that many performance indicators relate to statistical information.

Findings from the causality assessment is that the terminology used for planning concepts in the NDP and MTSF differ from the terminology used for concepts in the standard accountability planning and budgeting documents in the South African public sector. It shows misalignment of concepts on a strategic level. The operational and reporting concepts such as performance indicators, baselines and targets are, however, similar.

In addition to the inconsistencies between documents, the MTSF national outcomes are also not linked to budget programmes, which suggests that outputs cannot be reconciled with a budget allocation. The absence of budget allocations to the MTSF might be due to the intention of the MTSF to be integrated into departmental budgets and plans. A further observation is that inconsistencies in the use of planning and budgeting concepts exist not only between the NDP and MTSF, and the accountability document, but also between accountability documents themselves.

The analysis of the incorporation of MTSF performance indicators in relevant departmental APPs shows that 36 per cent of performance indicators are integrated into departmental APPs.

To avoid any misinterpretation, the analysis for incorporation, however, only considered performance indicators that were exactly the same in the MTSF and APPs.

The causality analysis included an analysis on the suitability of budget programme structures for the implementation of the NDP. This analysis shows that not all departmental programme structures provide a legal framework for the implementation of the MTSF.

The context, capacity and control analysis focused on processes, structures and systems available for policy implementation. This analysis also included an element of monitoring and evaluation. Observations from this section are that:

- Reporting is uneven between the outcomes and there is no relationship between the submission of data and the availability of a system or process. The percentage of compliance in terms of reporting on targets ranges from 74 per cent to 100 per cent. The collection of data, on performance indicators, linked to a specific process or system ranges from 6 to 58 per cent.
- The use of programmes should provide for suitably scoped, sized, resourced and empowered units within departments to facilitate economical, efficient, effective and equitable performance and delivery of services.
- Two separate systems are in use for the implementation of the NDP. The challenge, therefore, for successful policy implementation is the relationship of the NDP requirements with planning, budgeting and reporting in the government's performance management system. In instances where the performance information of the NDP is not incorporated within the processes and systems introduced in the public sector, it might not be prioritised for action, funding and implementation. The omission of end-year reporting and auditing in the system introduced for reporting on the NDP compromises accountability.
- Overall performance on targets set for 2014/15 improved from 38 per cent to 70 per cent in 2017/18. This improvement is mainly due to the improvement on reporting.

These findings and observations inform proposals for corrective action in chapter 7.

CHAPTER 7: RECOMMENDATIONS AND CONCLUSION

7.1. Introduction

Hallsworth and Rutter (2011:10) find that, specifically in the United Kingdom (UK), civil servants, politicians and academics continue to express concerns about the way in which policy is made. These concerns remain, despite continued reform attempts to improve the policy process. According to Hallsworth and Rutter (2011:10) good government depends on good policymaking and implementation. When policy implementation fails, the costs can be significant. Repeated failure can cause a loss of confidence in government, and in the democratic process.

As in the case of the UK, historical trends of reforms and failure to implement policies in South Africa was the motivation for this study. Specifically, the purpose is to develop a model for policy implementation analysis and to enable analysts to apply the model in practice. Although the model is based on theory, it provides an adaptive orientation for analysts to consider context when applying the model. This provision is in line with a recommendation made by Andrews (2012:230), which suggests that the implementation of processes without considering context, a tendency to adopt best practice and reliance on champions are all limitations for reforms.

The development of a long-term plan, the National Development Plan (NDP), vision 2030, and the decision to implement the plan over three 5-year periods (Medium-Term Strategic Frameworks (MTSF)) provide the opportunity to determine the initial success and to remove obstacles to implementation. The successful implementation of the NDP requires focused leadership, institutional reform and the allocation of resources. It further requires trade-offs, a willingness to prioritise, and the need for cautious sequencing of implementation (The South African News Agency, 2012).

Subsequent to the introduction of the first five-year MTSF, progress with the implementation of the NDP was reported and monitored quarterly. This process offered the executive, researchers and policy implementers an opportunity to create stability and identify obstacles to successful implementation.

Chapter 6 reflects the status of the implementation and the evaluation of factors that contributed to the success or failure of providing government services as envisioned by the 14 outcomes of the NDP. The chapter further identifies the obstacles to the successful implementation of the NDP.

The objective of this chapter is to make recommendations to the South African government on what is required for the successful implementation of the NDP. The aim is not to recommend changes on the strategic direction of policies, but to focus on the obstacles to policy implementation. Although the analysis of the implementation of the NDP has gone into detail to show how policy analysis, using the proposed model, could work in practice, the recommendations are not overly prescriptive. Legislation, regulations, guidelines and frameworks have been introduced to ensure that the content of planning documents is of good quality; that causality and the theory of change are reflected in government documents; and that the context is provided to ensure capacity, commitment and the control of policy implementation. Mechanisms for the decentralisation of service delivery have also been introduced in the public sector through clients and coalitions. It is a matter of ensuring that all of these processes and systems are embedded in practice (such as in policy implementation), that government has the capacity to implement them and that oversight bodies monitor and evaluate.

This chapter starts with the motivation for the research followed by the status of the first five-year implementation plan (2014–2019 MTSF) for the NDP. Based on the complexity and duplication of processes and structures within the implementation mechanisms for the NDP and mandates, an alternative model is proposed for the development of future implementation frameworks and methods to ensure successful implementation of the NDP.

The proposed model for policy implementation analysis (from chapter 5) was applied to the NDP and includes an analysis of the content, causality, context, capacity and control factors. The chapter continues with an analysis of the objectives and findings of each element (of the proposed model) that influences policy implementation. Each section includes specific recommendations to address current gaps in the content, causality, context, capacity, control and client and coalition elements that prevent the successful implementation of the NDP. The chapter ends the study with an overall conclusion.

7.2. Motivation for the research

The failure to implement new policies in the past was despite the fact that governance reforms were introduced to ensure policy implementation in South Africa. More recent experience shows that practical limitations for policy implementation in the South African government remain. These limitations further strengthen the need for the identification of further reforms, which are defined by Carstens and Thornhill (2000:178) as the process or procedure to become better by removing blockages.

Although the outcomes of the first five-year Medium-Term Strategic Framework (MTSF) for the implementation of the NDP are still to be assessed, the mechanisms, processes and systems for implementation allow for the continuous identification of blockages. The identification of the blockages and the subsequent unblocking, in the short- to medium-term, should have a positive impact on the successful implementation of the NDP by 2030.

According to O'Toole (2004:309), the development of policy implementation research interest, mainly stemmed from the practical disappointment of policy implementation in earlier decades. This research by O'Toole (2004:309) endorses the motivation to further research the requirements for successful policy implementation in South Africa. O'Toole (2004:311) also criticises theorists for not having solved the theory–practice challenges for policy implementation. O'Toole (2004:317) finds that despite disputation and conflicting views among scholars in the policy implementation research literature, there are points of agreement that could form the basis for further research on policy implementation.

To prevent persistence of historical trends, South Africa needs to address all identified challenges to ensure the implementation of policies addressing poverty, unemployment and inequality. This requires a more comprehensive and integrated approach to identify the specific factors causing failure in the successful implementation of policies, strategies or plans and propose recommendations that will enable implementing agents to execute policies successfully.

7.3. The current mechanism for the implementation of the NDP

The NDP provides a broad strategic framework to guide key choices and actions for the country to address poverty, inequality and unemployment. The NDP further contains a broad and multi-sectoral outline of policy outcomes intended to guide government's medium- to short-term planning. The 15 chapters of the NDP address the key policy priority areas and provide the content for implementation frameworks. The Plan has been endorsed by the South African Cabinet and has gained support across the country's political spectrum. Despite the support, views on the implementation of the NDP are not optimistic. Specifically, critics doubt the implement-ability of the medium-term strategic framework, the capability of institutions to implement the policies, and provisions for proper oversight.

The first five-year MTSF is structured around 14 priority outcomes, which cover the key policy priority areas identified in the NDP. According to the RSA (2014d:1) guide, the MTSF is a high-level strategic document for Cabinet to use to monitor the implementation of the NDP. The 2014–2019 MTSF contains detailed five-year implementation plans including priorities, sub-outcomes, actions, responsible ministries, indicators, targets and time frames for the

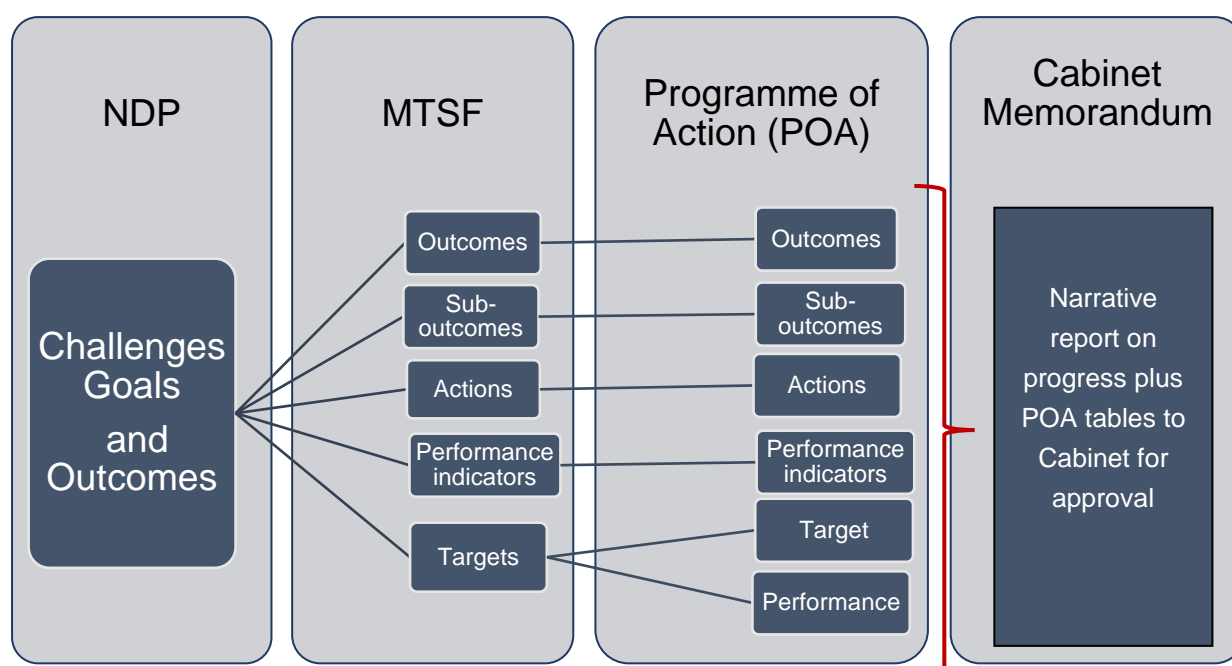
implementation of key actions. These detailed plans should have driven performance and enabled the monitoring of the implementation of the NDP. The development of the 2014–2019 MTSF was done through an intensive, consultative planning process. This process involved all three spheres of government. Essentially, the MTSF pursues to ensure policy consistency, alignment and coordination across government plans and alignment with budgeting processes (RSA (2014c: 2)).

According to the Programme of Action Quarterly Progress Reports on Outcomes, Guide Number 2. (RSA, 2014d:1), the Programme of Action (POA) tables should reflect measures for the monitoring of the implementation of the NDP through the MTSF. In addition, in practice, the POA:

- Repeats all the outcomes, sub-outcomes, key actions, indicators and targets – as articulated in the MTSF (more than a thousand indicators and targets).
- Ought to provide a clear link between the NDP and the MTSF (as a five-year building block of the NDP).
- Use information from progress reports submitted by government departments.
- Involves the submission of quarterly progress reports with a covering narrative memorandum to Cabinet (not available to Parliament, legislatures and the public) and the POA tables. The POA tables are available to Parliament, provincial legislatures and the public for monitoring purposes.

Diagram 7.1 summarises the content of the 2014–2019 MTSF and POA as well as the mechanism introduced for the monitoring of the implementation of the NDP.

Diagram 7.1: Operating mechanism for the implementation of the NDP



Source: Author, constructed from literature

The operating mechanism introduced for the NDP follows the basic procedures as described by the PFMA, 1999 (Act 1 of 1999) for the monitoring of all standard government activities. In practice, two separate monitoring systems exist, one for the NDP and one for the implementation of the mandate of departments. This practice of running duplicate mechanisms for the monitoring of government services creates the perception of inefficiencies and the waste of government's scarce resources.

7.4. A new mechanism for the successful implementation of the NDP

The development of the second five-year MTSF provides government with an opportunity to eliminate duplication and to work smarter by developing a strategic document in relation to the standard policy development and implementation mechanisms in government. It therefore provides an opportunity to consider the observations from the current operating mechanism, the initial guidelines developed for the implementation of the NDP and the findings from the analysis of the implementation of the NDP in chapter 6, section 6.4.

It is recommended that the 2019–2024 MTSF focuses on the development of strategic outcome-oriented goals linked to the 14 priority national outcomes of the NDP. Departmental strategic plans should then draw on these strategic outcome-oriented goals, together with other policies, plans and mandates indicating the sequencing of implementation over the next five years. Strategic plans must include the relevant strategic goals from the MTSF and

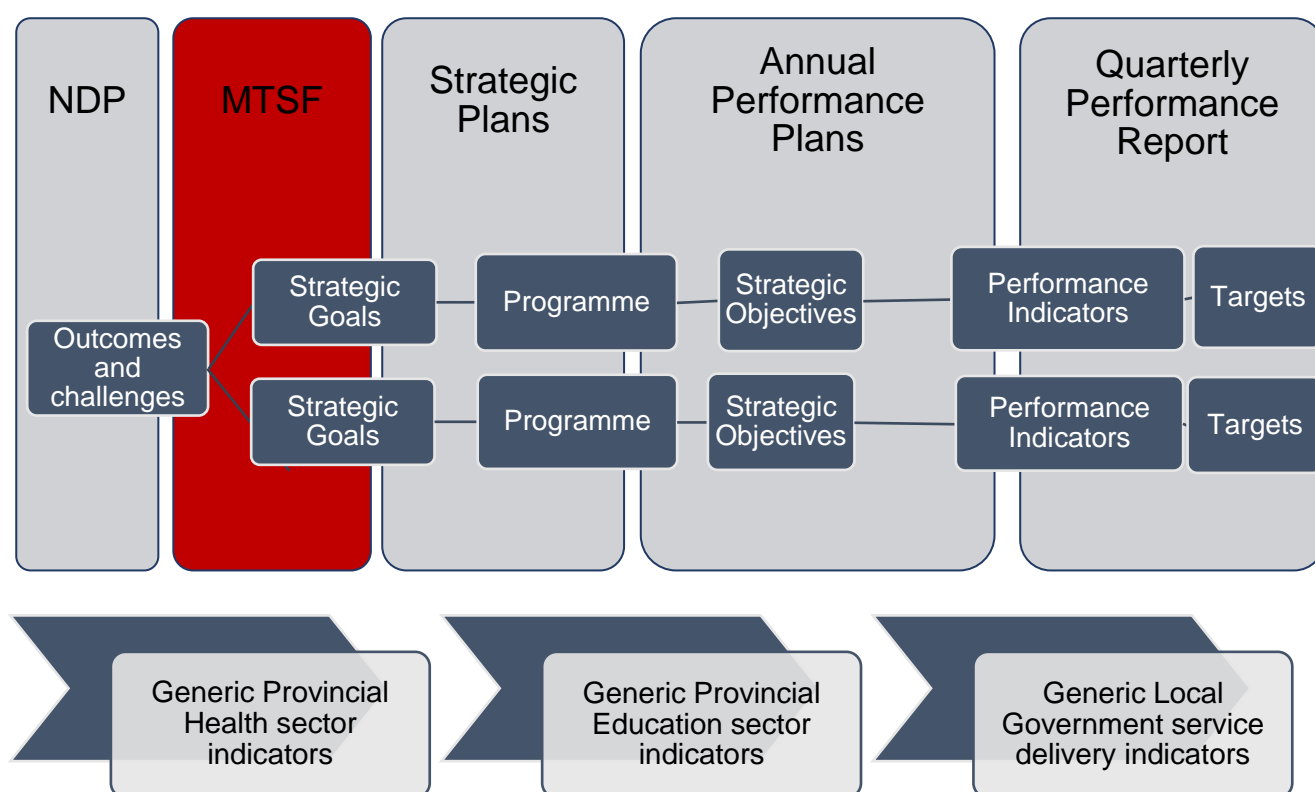
develop strategic objectives (linked to budget programmes presented in the annual performance plans), against which public institutions' medium-term results could be measured and evaluated by Parliament, provincial legislatures and the public. Where programme structures of responsible departments do not provide for the implementation of a specific national outcome, the programme structures must be reviewed to provide for the activities required for the implementation of the national outcome. This practice will ensure the full integration of the NDP into the standards government mechanisms.

Annual performance plans would then identify programme performance indicators and targets that the institution will seek to achieve in the upcoming budget year. Lead departments of national outcomes should guide and lead the development of a set of generic performance indicators for provinces, municipalities or other government institutions (all clients and coalitions) in respect of that specific outcome. This practice will allow for reviewing, reporting and monitoring all government services, including decentralised government services.

The results-based management system introduced in government also involves monitoring and reporting on results. This system requires the development and provision of integrated financial and non-financial information in the form of in-year monitoring financial reports and quarterly performance reports, which culminates in end-year reports that are subject to audits. The mandated audit process of all government activities will ensure accountability for the NDP commitments.

Diagram 7.2 shows how the 2019–2024 MTSF could be integrated into the performance-based management mechanisms of government. This proposed mechanism addresses the challenge of design/content, inefficiencies and accountability challenges experienced with the 2014–2019 MTSF and POA. Such mechanism could also support priority-based resource allocations through the development of sector (linked to budget function groups) performance indicators.

Diagram 7.2: Proposed operating mechanism for the implementation of the NDP



Source: Author, constructed based on literature and practice

The proposed operating mechanism for the implementation of the NDP provides a simplified mechanism, which fully integrates the NDP priorities into the standard processes of government. The mechanism excludes the complex MTSF (in its current format) and POA reporting process, which are also not subject to an audit.

The adoption of a more refined framework for the development of the 2020–2025 MTSF should eliminate some of the blockages caused by the content and causality elements. The complete integration of the 2020–2025 MTSF into the mechanisms adopted in government should also assist with the control element to ensure successful implementation of the NDP.

7.5. Recommendations to improve the implementation of the NDP through the current mechanism

Policies begin as concepts, which are then developed into plans of action that are approved and adopted by governments for implementation. According to Howlett and Mukherjee (2015:291), the policy process involves the thoughtful and careful defining of policy goals and connects them to mechanisms expected to realise them. Howlett and Rayner (2013:178) believe that each policy is a complex system of ends and means-related goals, objectives, instruments and standards, which exist in a specific governance setting. Fundamental

concerns in the design of policies are related to the construction of the system or, in terms of this research, the content.

In addition to Howlett and Mukherjee (2015:291) and Howlett and Rayner (2013:178), Hallsworth and Rutter (2011:17-18) propose that the best approach to ensure policy implementation, in a complex system, is to create a framework to guide actors. Actors need guidance on formulation/content and implementation, which are fundamentally linked.

The approach taken for this research was therefore to firstly develop a model, informed by a theoretical framework, for policy implementation analysis. The practical analysis (based on the proposed model for policy implementation analysis) of the implementation of the NDP showed blockages within the content of the 2014–2019 MTSF in terms of relevance, measurability and logic. The causality analysis has shown that not all concepts used in policy formulation, planning, budgeting and reporting are standardised. The NDP priorities are also not fully incorporated into the existing activities of departments and the budget programme structures in government may need to be revised to accommodate all the requirements of the NDP.

In terms of the context, capacity and control, the analysis shows that processes, systems and structures available for policy implementation are not fully embedded in practice.

The omission of end-year reporting and auditing in the system introduced for reporting on the NDP also compromises accountability.

7.5.1. Improving the content of the implementation plans for the NDP

Policy formulation/design refers (in this context) to the content, in particular, with regards to the technical – not strategic – development of the planning concepts (such as goals, objectives, performance indicators and targets). It further requires alignment with the administrative processes through which implementation occurs, the relevance of these concepts and the relation to each other in terms of logic. The 14 NDP outcomes were derived from goals that translated into sub-outcomes/objectives. These sub-outcomes are the medium-term milestones of performance indicators and targets. The performance indicators are informed by actions, which should provide clear direction to employees as to what they are expected to achieve and when.

7.5.1.1. The purpose and results of the content analysis

The purpose of the analysis was to determine the reliability, relevance and measurability of the implementation framework for the NDP. The content was evaluated against a framework introduced for the standard government planning and monitoring concepts.

The analysis presented and substantiated in chapter 6 section 6.4.1 showed that 87 per cent of performance indicators to report progress on the NDP in 2017/18 were relevant and reliable to measure performance, 73 per cent of the indicators had baselines and 66 per cent of targets were measurable. It should be noted that the relevance of the performance indicators was evaluated in terms of the mandate of the institutions responsible for the implementation of the national outcome. In most instances the responsibilities were allocated to national departments, which are not directly responsible for service delivery.

In effect, what the results showed is that 13 per cent of the performance indicators to measure progress on the implementation of the NDP are not accurate enough for their intended use and do not relate logically and directly to an aspect of the implementing institution's mandate, and the realisation of strategic goals and objectives. It further shows that 34 per cent of targets cannot be measured and 27 per cent of targets are not relative to baselines. It has also been noted that a high number of performance indicators and targets have been developed for each financial year. Having a high number of performance indicators, in fact, also contributes to the challenges of managing performance information.

The opinion of an external reviewer, of this research, is that the degree of relevance of the indicators is extremely weak and, in many cases, inappropriate. This issue refers to the matter of doing the right things in the right manner to achieve success. Moreover, many indicators are too restricted because they still measure outputs rather than outcomes or impacts. The reviewer did not cite any particular example, but one can only speculate on what may have influenced the statement. For example, an indicator (see Appendix D) for improved quality of health care in outcome 2: A long and healthy life for all South Africans is: "Knowledge hub developed and functional" is not clear without a clear description.

Recommendations for improving the content of the NDP implementation framework

The first set of recommendations relates to performance indicators.

Performance indicators must be appropriate to addressing the challenges in society, as identified by the NDP. Performance on an indicator should demonstrate a change in service delivery. The link of a performance indicator to service delivery involves service delivery on all levels of government. It must further relate directly to the mandate of the relevant institution and contribute to the achievement of outcomes. This alignment is necessary to support the outcome-based approach of the South African government. The use of activities and administrative or operational performance indicators should be avoided to measure the strategic commitments made in the NDP. Performance indicators must further be clearly defined to ensure proper reporting, evaluation and auditing. This recommendation also links

to the availability of data, which should be a prerequisite for the development of a performance indicator. An institution must take full responsibility of reporting on a performance indicator and must be able to provide evidence on the outputs delivered, which is crucial for monitoring and evaluation of service delivery and also for performance auditing. Performance auditing is related to the evaluation of the use of resources in the public sector and often focuses on determining how the public sector is achieving value for money. This is also one of the main reasons for recommending the full integration of the NDP into institutional performance plans, which is regulated by law.

These recommendations are aligned and supported by:

- The Framework for Managing Programme Performance Information (RSA, 2007a:7)
- The Performance Information Handbook, RSA (2011c:1, 17-19), which also provides comprehensive guidance to improve the relevance, availability and quality of performance information (PI)
- Vignieri (2018:6), who supports the development of standards for performance information and believes that performance measurement should be relevant, strong and sophisticated and give clear guidance to employees on activities
- Cloete (2018:10), who believes that the South African indicator systems are, in many cases, inconsistent, overlapping and not synchronised

The next step, after a set of suitable performance indicators has been defined, is to estimate the level of performance the relevant institution will endeavour to achieve. This involves specifying suitable performance targets relative to baselines or inputs. The evaluation of performance on a performance indicator is, however, not possible without the comparison of a target with a baseline.

The second set of recommendations relates to target setting.

Targets must be based on previous trends and future circumstances for the demand or supply of services. In instances where no baseline is available, a baseline needs to be established by starting to measure results or to determine values based on the factors contributing to the output. Targets must be specific and measurable. The use of a number or percentage is useful for setting measurable targets, which is fundamental for monitoring and determining efficiencies.

These recommendations are aligned and supported by The Framework for Managing Programme Performance Information (RSA, 2007a:9-10).

7.5.1.2. Improving the causal effect of concepts and activities for the implementation of the NDP

The NDP prioritised 14 national outcomes to be achieved by 2030. The 2014–2019 MTSF was the first medium-term implementation plan, designed to identify critical actions to be taken, during the period, towards achieving the targets set for 2030. The aim was to highlight department-specific performance indicators and targets towards the achievement of the NDP priorities. These performance indicators and targets were ideally meant to enable a direct link between the NDP, MTSF, departmental strategic plans and annual performance plans.

In practice, the alignment of policy outcomes and spending plans is facilitated by a number of mechanisms. It is, however, through the strategic planning and budget cycle that this alignment is realised. The budget and spending plans are required to identify what type of activity, outputs, targets and medium-term objectives will lead to achieving the longer-term outcomes. This approach leads to a detailed understanding of the causal effect of the actions taken. It also leads to good evaluations, as it is possible to measure progress towards the achievement of outcomes and not only identify programme inputs and outputs. According to Görgens and Kusek (2009:64) it is important for the monitoring and evaluation function to work collaboratively with the planning and budgeting functions. Different views are provided by the literature on the correct placement of the monitoring and evaluation function. There is no correct option, but it is necessary to consider all the factors that could influence the dynamics within organisations to strike a balance between the planning, budgeting and monitoring and evaluation functions.

According to McLaughlin (1998:1), managers are responsible for presenting a logical argument for how their programmes are addressing a specific need or challenge. Managers are further liable for ensuring measurement and evaluation of their programmes to improve effectiveness over time. In addition to McLaughlin (1998:1), Robinson (2014:11-12) suggests that the starting point of programme logic is a clear description of the causal links by which programme outputs are expected to create intermediate programme objectives and goals linked to higher-level outcomes.

7.5.1.3. The purpose and results of the causality analysis

The causality analysis presented and substantiated in chapter 6 section 6.4.2 considered the integration of the outputs identified for the NDP with relevant government departmental budgets and Annual Performance Plans (APPs). It further evaluated the relationship between the management structures involved in the planning and budgeting processes for the implementation of the NDP.

- The first analysis considered the alignment of planning and budgeting concepts between the 2014–2019 MTSF and standard government accountability documentation. This evaluation assists with identifying any misinterpretation of terminology, the linkages of concepts and to ensure the reliability of the assumptions made in terms of the logic flow of concepts. The analysis shows that not all NDP and 2014–2019 MTSF concepts are comparable with the standard accountability planning and budgeting concepts used in the South African public administration.
- The second purpose was to evaluate whether the performance indicators, developed to track performance on the 2014–2019 MTSF sub-outcomes, are incorporated into the relevant departmental APPs. This evaluation assists with identifying the misalignment of national priorities with government plans. The analysis found that 36 per cent of the 2014–2019 MTSF performance indicators were incorporated into APPs of relevant departments. This means that only 36 per cent of performance indicators are linked to a budget programme and therefore funded, monitored and audited through the standard government performance management system within the legal framework provided by the Public Finance Management Act (PFMA), 1999 (Act 1 of 1999).
- The third purpose was to identify the suitability of the government budget programme structures for the implementation of the 2014–2019 MTSF sub-outcomes linked to the national outcomes. The analysis showed that not all departmental programme structures provide the legal basis required for the implementation of the 2014–2019 MTSF.
- The fourth purpose was to identify any misalignment of the structures involved in the planning, budgeting and reporting processes. The analysis showed that the management structures for the implementation and budgeting for the 2014–2019 MTSF do not always comprise the same departments/ministries.
- Finally, the analysis of the suitability of the lead departments to lead the implementation of the 2014–2019 MTSF showed a mismatch of two lead departments in terms of the mandate of the departments.

The opinion of an external reviewer is that many NDP programmes are badly designed, suggesting a specific internal logic that is not feasible. Many causal linkages are either absent or completely wrong because of wrong theories of change that do not work in practice, leading to bad policies that cannot be successfully implemented.

7.5.1.4. Recommendations for improving the causal effect in the NDP process

To eliminate any misunderstanding of the linkages of concepts and to ensure the reliability of the assumptions made in terms of the logic flow of concepts, it is recommended that all concepts used in policy formulation, planning, budgeting and reporting are standardised and follow a logic flow or are aligned to each other. This standardisation should be regulated by a legal framework and should be applicable to all levels of government including government entities. The concept of 'alignment' could be subjective and should be avoided and replaced by a well-defined logic framework for the development of planning concepts.

This recommendation is supported by McLaughlin (1998:2, 4-9), who recommends the use of a Logic Model to ensure the logic flow of elements.

The fourth recommendation is to incorporate all NDP priorities into the existing activities of departments and disaggregate the activities into the short- and medium-term plans at all levels of government. This incorporation should ensure funding, regular reporting and monitoring through the standard planning, budgeting and reporting systems in government.

One method of addressing this recommendation is to implement the mechanism as presented in section 7.3 and illustrated by diagram 7.2. Alternatively, the responsible planning department in government should coordinate the development of a programme structure for the 14 national outcomes linked to strategic goals and objectives. A set of service delivery programme performance indicators for national and provincial departments as well as for municipalities, per programme, needs to be developed in consultation with all spheres of government. These concepts should be gazetted to provide a legal framework for the implementation of the NDP and subsequently form part of relevant strategic plans, annual performance plans and integrated development plans.

This recommendation is aligned and supported by The Framework for Strategic Plans and Annual Performance Plans (RSA, 2010c:14).

The fifth recommendation encompasses the suitability of budget programme structures (in the programme-performance management system adopted by the South African government) of national and provincial departments, which should provide a framework, linking policy and strategic priorities to budget allocations and performance indicators. This alignment should enable the monitoring of service delivery over the medium to longer term. High-level priorities such as the national outcomes therefore depend on implementation by individual departments and the coordination of activities of several departments and activities in other spheres of government. The adoption of a new policy (also the NDP) requires the review of budget programme structures to provide not only for a legal framework for the implementation of the

policy priorities, but also for the capacity (funding and human resources) to implement. A review of the programme structures of national departments, as presented in chapter 6 section 6.4.2.3, shows that not all budget programme structures are suitable to incorporate the priorities of the NDP. Although many of the NDP initiatives relate to existing activities (measured by performance indicators) that can be accommodated in the existing budget programme structures, the review of all budget programme structures on all levels of government is recommended to ensure the correct classification of budget programmes to accommodate the NDP outcomes and activities towards which funds must be directed.

Programme budgeting is, however, not the only form of performance budgeting. A sixth recommendation includes the consideration of combining other forms of budgeting selectively within the programme performance management system adopted by the South African government.

One of these forms of budgeting links funding to the quantity of outputs delivered by using output unit costs. This form of budgeting should be used selectively for appropriate classifications of government services to further improve efficiency. This form of budgeting would be relevant to measure service delivery and could be useful for monitoring the implementation of Outcome 9: “Responsive, accountable, effective and efficient developmental local government services, for example”.

In addition to programme and output-based budgeting, there is another performance budgeting tool that could be applied to the 14 outcomes of the NDP. This is the use of a target-based performance budgeting system. This type of budgeting endeavours to link the level of funding provided broadly to ministries to centrally imposed outcomes/targets (such as outcomes/targets reflected in the NDP) for the results that those ministries are expected to achieve.

These recommendations are aligned and supported by:

- The Framework for Strategic Plans and Annual Performance Plans (RSA, 2010c:14)
- Robinson (2014:9-10), who argues that programme budgeting aims to structure the budget in such a way that it facilitates good expenditure prioritisation, while simultaneously placing increased pressure on departments and agencies to improve the effectiveness and efficiency of spending
- McGill (2006:50-52) believes that additional trends in performance management put greater pressure on institutions to improve the relationship between funding and performance

The sixth recommendation relates to those institutions where budgeting and planning structures exist. Regardless of the global trend to merge planning and budgeting structures,

South Africa established a National Planning Commission (NPC) in the Department of Planning, Monitoring and Evaluation (DPME) in 2010. The NPC is an independent body and is, according to RSA (2010c:2), responsible for effective planning and coordination of government policies. The DPME is also responsible for medium- to short-term planning, monitoring and evaluation. On the other hand, the National Treasury is responsible for managing South Africa's public finances, including budgeting, expenditure monitoring and reviews. It is acknowledged that top-down planning sets the strategic priorities for budgeting, but activities are in turn influenced by budget limits and changes during the implementation. The components of a performance management system (Planning, Budgeting, Implementation, Monitoring and Evaluation) must work together to ensure the achievement of long-term national priorities. Linkages between the components need to be assessed periodically due to possible changes in the relationships among these components. One of these assessments recommended is the effectiveness of having the planning, budgeting, implementation and monitoring and evaluation components within separate institutions. Different views are provided by the literature on the correct placement of the monitoring and evaluation function. There is no correct option, but it is necessary to consider all the factors that could influence the dynamics within organisations to strike a balance between the planning, budgeting and monitoring and evaluation functions. It is recommended that South Africa, as in many countries where budget reforms have moved towards a medium-term expenditure framework (MTEF), consider merging some of these units within one institution. This is mainly in respect of medium- and short-term planning, considering the strategic direction provided by long-term plans such as the NDP. The challenges with not having these structures within one institution are also experienced by oversight bodies, such as the Parliament of the Republic of South Africa. Separate reporting on financial, non-financial and the priorities of the NDP make proper monitoring and evaluation of government performance difficult.

This recommendation is aligned and supported by:

- Thomas (2011:5), who argues that planning for results can become a top-down compliance exercise that ignores fiscal parameters. An output-based budgeting system could allocate resources to objectives not linked to the national plan outcomes and the monitoring process could monitor performance indicators not relevant to evaluating national outcomes (also see par.5.4.1 p. 110).
- Shah and Shen (2007:164) provides some lessons for countries that are attempting to reform their budget systems.

- Görgens, and Kusek, (2009:65) is of the view that the monitoring and evaluation function must work collaboratively with the planning and budgeting components.

An seventh recommendation is to reconsider the suitability of lead departments for the 14 national outcomes of the NDP in terms of their mandate. The view is that there should be a logic flow between the national outcomes and the mandates of lead departments, which are reflected in the vision (an inspiring picture of a preferred future) of each department and the purpose of a vote. The vision also serves as a foundation for all policy development and planning, including strategic planning. It should be specific to the institution but linked to the overall vision of a particular sector or cluster (in this instance a national outcome).

The departments that constitute the Economic Cluster, for example, should play a role in the revitalisation of the economy, job creation and reduction of inequalities. This Cluster, led by the relevant department in the economic sector, is therefore responsible for ensuring the integration of economic initiatives and strategies aimed at steering the economy towards growth, in line with the achievement of the targets set out in the National Development Plan. The Security Cluster, for example, are collaboratively responsible for security in international events or to ensure a peaceful election. It should, therefore, not be relevant for a department in the Security Cluster to lead the Economic Cluster to achieve economic performance.

This recommendation is aligned and supported by:

- The Framework for Strategic Plans and Annual Performance Plans (RSA, 2010c:12).
- Koma and Tshiyoyo (2015:36-37), who outline a cluster as the grouping of departments with similar, related or shared objectives to ensure a closer cooperation and coordination with the purpose of achieving an integrated system of governance.
- The clustering of South African government departments is necessitated by the intergovernmental relations framework underpinned by the principle of cooperative governance as prescribed in the Constitution of the Republic of South Africa, 1996.

7.5.2. Improving the context, capacity and control for implementing the NDP

Brynard (2005:659-662) argues that the focus of policy implementation should be on the institutional context which, like other factors, will necessarily be shaped by the larger context of social, economic, [fiscal], political and legal realities of the system. This is merely to emphasise that the principal concern is the impact on the implementation process, primarily via the institutional route, which implementation must follow. Governments may further have the most logical policy, but if those responsible for carrying it out are unwilling or unable to do so, little will happen. A top-down approach would view implementer commitment being created

mainly by the content of the policy and its capacity provisions, while a bottom-up approach, even while accepting the influence of content and capacity, would tend to view commitment as being influenced much more by the institutional context, and clients and coalitions. Both commitment and ability to implement the elements of strategic management within a given context are needed to achieve the policy implementation objectives for sustainable public service delivery.

In addition to Brynard (2005:659-662), Cerna (2013:17) argues that successful policy implementation implies compliance to government directives, oversight in terms of monitoring performance on targets and goals, adequate capacity and resources, as well as clear performance concepts. Not acknowledging the particular context can also lead to incoherent efforts. In support of Cerna (2013:17), Gao (2015:94) believes that performance improvement requires more than the implementation of a performance measurement system if the basics are not in place. Despite evidence that goal clarity is important for improving organisational performance, context always matters.

Shah and Shen (2007:164-166) are of the view that the United States' experience with the implementation of a performance management and budget system could provide lessons for other countries. The introduction of change is not only time consuming, but administrative initiatives also need legislative buy-in to ensure that it outlast the political environments. Performance management and budgeting must, however, be linked. This linkage is missing in the United States' performance management and budgeting system. Greater detail is required to determine the cost of delivering services, selecting relevant measures and using performance information for decision making and in normal administrative processes. Chile has successfully pursued the use of performance information in making budget decisions. To facilitate the process, the Ministry of Finance has set-up a Management Control Division within their Budget Office. This Office is also responsible for performance evaluations for encouraging performance and assisting with resource allocation.

The research acknowledges the impact of factors such as the swings in party politics, possible political interference, corruption and fiscal constraints on policy implementation. The context and capacity factors of the proposed policy implementation analysis model (from chapter 6), have, however, been applied to the NDP to assess possible constraints for the implementation of the NDP. This assessment included the analysis of administrative and management mechanisms that provide the operational environment for the implementation of the NDP. The model considers the processes, structures and systems available, in the South African public sector, for policy implementation as a whole.

7.5.2.1. The purpose and results of the analysis of the context, capacity and control elements for the NDP

The main challenge to ensuring successful policy implementation is to balance the relationship between policy, planning, budgeting, reporting and monitoring in a performance management system.

The exploration of structures available for policy implementation in the South African government showed that a performance-based, programme budgeting system has been introduced with the implementation of the PFMA, 1999 (Act 1 of 1999). Supplementary to the PFMA, 1999 (Act 1 of 1999), the Framework for Strategic and Annual Performance Plans (RSA 2010c:1-2) explains that such a system integrates strategy, people, resources, processes and measurement, which requires the regular submission of performance information on a programme level.

This research only determined the availability of the structures and not the capacity required for policy implementation. Assessing the adequacy of structures in the South African government for the implementation of the NDP was, however, beyond the objectives of this research. Further research is required on the ground, including interviews and a few well selected case studies.

The first step in the context, capacity and control analysis was to determine the status of reporting on the NDP and the availability of processes for the implementation of the NDP.

The analysis presented and substantiated in chapter 6 section 6.4.3 showed that performance information on 92 per cent of targets was submitted and 19 per cent of indicators are linked to a specific process or system for collecting performance information. All other data are gathered from standard administrative information. A further observation was that reporting is uneven between the NDP outcomes and that there is no relationship between the submission of data and the availability of a system or process. The percentage of compliance in terms of reporting on targets ranges between 74 per cent and 100 per cent. The collection of data, on performance indicators, linked to a specific process or system ranges from 6 to 58 per cent between the 14 national outcomes.

The second analysis focused on the availability of structures in the South African public sector for the implementation of the NDP.

A finding, from a comparison of the systems in use for reporting on the progress with the implementation of the NDP and the standard government processes (in terms of the PFMA, 1999 (Act 1 of 1999)) for policy implementation in the South African public sector, is that two separate systems are in use for reporting on the implementation of the NDP. Reporting on the

implementation of the NDP, which is partially integrated into the standard system, is not compliant with the legal framework (regulated by the PFMA, 1999) for reporting on the mandate of government institutions.

In instances where the performance information of the NDP is not incorporated within the processes and systems introduced in the public sector, it might not be prioritised for action linked to a management unit, funding and implementation. The omission of end-year reporting and auditing in the system introduced for reporting on the NDP also compromises accountability and the misuse of funds.

The observation from the above findings is that the structures available in the public sector, for policy implementation, are not fully used for the implementation of the NDP.

The purpose of the control/monitoring and evaluation analysis of the performance information was to determine the progress made since 2014/15 with the implementation of the NDP. It involved the monitoring of the achievements of annual targets set in the 2014–2019 MTSF. The determination of progress involved a simple count of targets achieved in the first year of implementation and for 2017/18 (the last available data on the Programme of Action). The findings were that 38 per cent of targets set for 2014/15 were achieved, while 70 per cent of targets were achieved in the 2017/18 financial year.

7.5.2.2. Recommendations for improving the context, capacity and control of the NDP implementation

The broad recommendation from the findings on the context, capacity and control analysis is that government should use the legal structures, processes and systems to implement the NDP.

The institutions/departments responsible for the implementation of the NDP must ensure the proper establishment of structures, processes and mechanisms as required by the PFMA, 1999 (Act 1 of 1999) and a performance budgeting system. The main purpose of performance budgeting is to trace the causal connection between outputs and outcomes/impact within a defined strategic framework and resource allocation mechanism. The strategic framework is guided by a strategic plan, which is a medium to long – term policy oriented document. The strategic plan identifies goals and objectives informing priority-based resource allocations of which programmes are the unit of performance analysis.

It is recommended that programme structures should be strictly designed according to the legal requirements (see par. 6.3.1.3.2). A commitment to the legal requirements for programme structures will provide for the relevant strategic and budget framework as well as

the capacity (such as a management unit, funding, staff, action and systems) required for the successful implementation of the NDP.

Programme structures must provide the legal basis for the implementation of the 14 national outcomes. This provision should ensure the allocation of funds for the delivery of the NDP. Appropriately skilled persons must be appointed as programme managers to effectively manage performance, financial and other resources to maximise the achievement of the NDP outcomes within the programme performance management system.

The application of programme performance budgeting within the programme performance management system adopted by the South African government, could also consider combining other forms of budgeting selectively. This is the use of a target-based performance budgeting system. This type of budgeting endeavours to link the level of funding provided broadly to ministries to centrally imposed outcomes/targets (such as outcomes/targets reflected in the NDP) for the results that those ministries are expected to achieve. It is expected that such a budgeting tool should include a transversal programme structure linked to long term priorities. Further exploration is required, on the ground, including interviews and a few well selected case studies.

Operating procedures, including relevant guidelines and frameworks for managing performance on the implementation of the NDP, must be communicated to relevant staff and included in standard monitoring and evaluation systems. These systems should involve performance monitoring within and across organisations through:

- Quarterly performance reports that are ultimately consolidated into an Annual Report
- Internal and external auditing of performance information relative to the targets set in the Annual Performance Plan

Due to a range of challenges identified with the systems, compliance, the overload of various performance information and the prioritisation of budget decision, the recommendations on performance are limited to the current reporting system on the progress with the implementation of the NDP.

The regular evaluation of the implementation plans and reporting on the NDP is recommended in terms of the content, the effectiveness of management structures, compliance and the monitoring of the quality of performance information and the achievement of targets.

If the NDP is fully integrated into the standard government structures and monitoring of performance (financial and non-financial) indicates that some component of a programme is ineffective, the termination of funding could be considered. On the other hand, if monitoring indicates that a programme is effective but inefficient, the reduction in the level of funding,

combined with pressure on the responsible department to ensure that it improves efficiency needs to be considered. It should be noted that certain programmes, even when they are not performing, cannot merely be terminated, due to legal and political obligations.

All programmes of government are reflected in annual reports, which link budgets and performance information. This linking of budgets and performance information allows for a broader consideration of resource allocations in relation to performance, in the context of a strategic or planning framework. Annual reports are subject to auditing, which should assist with the improvement of the implementation of the NDP.

This recommendation is aligned and supported by:

- McGill (2001: 380 - 381) is of the view that a performance budgeting system provides the process for achieving outputs that generate outcomes. Performance budgeting is also a method for requesting resource allocations derived from strategic plans.
- The Presidential Review Commission on the Reform and Transformation of the Public Service in South Africa (RSA, 1996:300-303, 306-) recommended the implementation of a performance-based programme budgeting system with conditions such as the development of clear objectives, a high level of political and administrative support, and the effective integration of planning and budgeting.
- The Guide to the Outcomes Approach (RSA,2010b:1-3), which describes the use of programmes to facilitate effective and efficient performance and service delivery
- Sabatier and Mazmanian (1979:487), who highlight the importance of unambiguous policy directives, the structure for the implementation process, the provision of sufficient financial resources, and monitoring to ensure policy implementation by state agencies
- The Public Finance Management Act (PFMA), 1999 (Act no. 1 of 1999), which introduced a performance-based approach to governance, including greater responsibility to managers and at the same time holding them accountable for strategic and financial management.
- Van Dooren and Van de Walle (2008:5) are of the view that the use of performance information should not only focus on the technicalities of public sector decision making, but should also focus on organisational structures for collecting, dissemination, evaluation and the change in the performance information mind-set of officials, politicians and citizens.
- Shah and Shen (2007:150) argues that performance budgeting allows for information-based budget deliberations that assigns a significant weight to performance information.

Although significant, this element of performance budgeting is insufficient to drive out political concerns and value judgements in taking budget decisions.

The last recommendation emphasises the role of communication and control when services are decentralised or, in the case of South Africa, public entities are used. Concerns frequently raised by researchers are the fragmentation of public services, uncertainty around the governing arrangements, financial and performance accountability, and scope for political intervention. Other challenges are the lack of a performance culture in public entities, including uncertainty around evaluations.

These challenges could be addressed by:

- Identifying key relevant stakeholders as opposed to using multiple actors responsible for the implementation of national outcomes
- Giving greater responsibility to programme managers, linked to a public entity and at the same time holding them accountable for the monitoring of strategic and financial management of public entities
- Holding programme managers responsible for communicating the requirements of public entities in terms of the implementation of the national outcomes and for monitoring progress with the implementation. Programme managers need to ensure the:
 - Quality and relevance of progress reports
 - Completeness of data
 - Compliance to timeframes

This recommendation is aligned and supported by:

- Brynard (2005:661-662), who supports the identification of key relevant stakeholders and emphasises that the use of institutions outside of government results in a parallel shift in the policy implementation process.
- Robinson (2015:11), who suggests: 'A whole-of-government approach, in particular, to strengthen central oversight and collaboration. Such efforts to coordinate service delivery across organisational boundaries necessitates the creation of delivery units to drive up delivery standards and results in priority policy areas through greater co-ordination, clarity on goals, the formulation of delivery plans, and continuous measurement of performance. This is also a system of realising the benefits of a more joined-up approach to policy implementation.'
- Cerna (2013:20), who emphasises the monitoring (control) aspects of implementing agents by supervisors in order to reduce a drift in policy implementation.

7.6. Summary

Slow progress on the implementation of the NDP necessitated the analysis of the mechanisms introduced for its implementation. Throughout the analysis the complexity of the mechanism has been identified as a challenge for the successful implementation of the NDP.

A revised operating model is, therefore, recommended for the successful implementation of the NDP. This revised model provides a simplified mechanism, which fully integrates the NDP priorities into the standard processes of government. The mechanism excludes the complex MTSF (in its current format) and POA reporting process.

The adoption of a more refined framework based on the proposed operating model for the development of the 2020–2025 MTSF should eliminate some of the blockages caused by the content and causality elements of the current NDP implementation plans. The complete integration of the 2020–2025 MTSF into the mechanisms adopted in government should also assist with the control element to ensure successful implementation of the NDP.

Despite the recommendation for a revised mechanism, a range of analysis and evaluations were conducted on the current complex mechanism.

The first set of recommendations on the current operating mechanism for the implementation of the NDP relates to performance indicators. The advice is that performance indicators must be appropriate to address the challenges in society as identified by the NDP. The performance indicators must further relate directly to the mandate of the relevant implementing (service delivery) department/agent, and contribute to the achievement of the national outcomes. The use of activities and administrative or operational performance indicators should be avoided when measuring the strategic commitments made in the NDP. Performance indicators must further be clearly defined to ensure proper reporting, evaluation and auditing. This recommendation also links with the availability of data, which should be a prerequisite for the development of a performance indicator. An institution, through its programmes, must take full responsibility of reporting on a performance indicator and must be able to provide evidence on the outputs delivered.

The second set of recommendations relates to target setting, which advises that targets must be based on previous trends and future circumstances for the demand or supply of services. In instances where no baseline is available, a baseline needs to be established by starting to measure results or to determine values based on the factors contributing to the output. Targets must be specific and measurable. When setting targets, it is advisable to use a number or percentage, which is fundamental for monitoring.

The third recommendation involves the incorporation of all NDP priorities into the existing activities of departments and disaggregating the activities into the short- and medium-term plans at all levels of government.

The fourth recommendation involves the suitability of budget programme structures (in the programme performance management system adopted by the South African government) for the implementation of the NDP. Although many of the NDP initiatives relate to existing activities (measured by performance indicators) that can be accommodated in the existing budget programme structures, the review of all budget programme structures on all levels of government is recommended to ensure the correct classification of budget programmes to accommodate the NDP outcomes and activities to which funds must be directed.

A fifth recommendation includes the consideration of combining other forms of budgeting selectively within the programme performance management system adopted by the South African government. One of these forms of budgeting links funding to the quantity of outputs delivered by using output unit costs. This form of budgeting should be used selectively for appropriate classifications of government services to further improve efficiency. This form of budgeting would be relevant to measure service delivery and could be useful for monitoring the implementation of Outcome 9: “Responsive, accountable, effective and efficient developmental local government services, for example”.

In addition to programme and output-based budgeting, the use of a target-based performance budgeting system should be considered to link the level of funding provided broadly to ministries to centrally imposed outcomes/targets (such as outcomes/targets reflected in the NDP) for the results that those ministries are expected to achieve. In practice this form of budgeting is used to fund national government priorities, implemented by other levels of government, through conditional grants.

The sixth recommendation relates to those institutions where budgeting and planning structures exist. The components of a performance management system (Planning, Budgeting, Implementation, Monitoring and Evaluation) must work together to ensure the achievement of long-term national priorities. Linkages between the components need to be assessed periodically due to possible changes in the relationships among these components. It is recommended that South Africa, as in many countries where budget reforms have moved towards a medium-term expenditure framework (MTEF), consider merging some of these units within one institution.

A seventh recommendation is to reconsider the suitability of lead departments for the 14 outcomes of the NDP in terms of their mandate. The view is that there should be a logic flow between the national outcomes and the mandate of lead departments, which are reflected

in the vision (an inspiring picture of a preferred future) of each department and the purpose of a vote.

The broad recommendation from the findings on the context, capacity and control analysis is that government should use the legal structures, processes and systems for the implementation of the NDP.

It is recommended that programme structures should be strictly designed according to the legal requirements. Operating procedures including relevant guidelines and frameworks for managing performance on the implementation of the NDP must be communicated to relevant staff and included in standard monitoring and evaluation systems.

The regular evaluation of the implementations plans of the NDP is recommended in terms of the content, the effectiveness of management structures and the monitoring of the achievement of targets.

If the NDP is fully integrated into the standard government structures and monitoring indicates that some component of a programme are ineffective, the termination of funding could be considered. On the other hand, if the monitoring indicates that a programme is effective but inefficient, the reduction in the level of funding, combined with pressure on the responsible department to ensure that it improves efficiency, needs to be considered. Such operations should assist with improving the implementation of the NDP.

The last set of recommendations emphasises the role of communication and control when services are decentralised – or in the case of South Africa, public entities are used. The main recommendations include:

- The identification of key relevant stakeholders as opposed to using multiple actors responsible for the implementation of national outcomes
- Giving greater responsibility to programme managers linked to a public entity and at the same time holding them accountable for the monitoring of strategic and financial management of public entities
- Holding programme managers responsible for communicating the requirements of public entities in terms of the implementation of the national outcomes and for monitoring progress with the implementation.

7.7. Conclusion

In a democratic political dispensation, public policymaking flows from a political process. Policies are then translated into enforceable government programmes through the formulation of strategies to direct institutional activities and outputs. Many governments, including the South African government, however, struggle to implement policies successfully.

The aim of this research was to explore the reasons for the challenges experienced by the South African government to implement policies, a key element of public administration, successfully. Globally the public sector was required to reform, over time, due to inefficiencies in the public administration. The reform interventions since the 1980s led to changes to public management focusing on a whole-of-government approach, which focused on inter-organisational relationships and the governance of processes. The public service was also restructured by moving towards decentralisation, devolution of responsibilities, partnerships, and the rearrangement of accountability in service delivery.

Regardless of the different focuses of the public administration reforms, performance measurement has searched for effective ways to ensure policy implementation. A necessary requirement is that all government activities reflect and align to the objectives of national policies. The challenge, though, is to implement these activities through the proper public administrative mechanisms, to reap the benefits of efficiency and effectiveness and to be able to evaluate success or failure. The evaluation of success or failure should, however, focus on the entire policy process guided by a systematic technique. The use of a practical policy implementation analysis model is advisable to identify the challenges faced by government to implement policies successfully.

A model was therefore developed, based on the key public sector reforms, mechanisms and key factors that influence successful policy implementation. The practical application of the model was tested on the South African National Development Plan (NDP), vision 2030.

The value of this study is twofold. Firstly, it contributes to the theoretical field of policy implementation by proposing a new model for policy implementation analysis. The proposed model for policy implementation analysis simplifies a wealth of theoretical concepts in the fields of public sector management and policy implementation. The model was developed by consolidating and categorising the instruments of a performance-based management system into a practical analysis tool. The proposed model builds on previous models and frameworks and considers content, causality, context, capacity and control as critical elements influencing policy implementation. It is structured to assist policy implementation analysts to assess policy implementation over the entire policy process. This model is not only applicable to existing policies but could be used to guide the entire policy process from formulation to evaluation.

Secondly, the model has been tested and proven to be applicable for the practical analysis of the entire policy process. The application of the model to the NDP identified critical challenges such as shortcomings with the design and mechanisms for the implementation of the NDP. Based on the findings, the challenges experienced with the implementation of policies could be attributed to challenges with the formulation of policies, as well as the implementation of structures, processes and systems adopted by the South African government.

A detailed set of recommendations made to government is centred on the primary reasons for the slow progress made with the implementation of the NDP. The recommendations will contribute to improve policy formulation, the setting-up of proper structures, processes to prioritise funding and systems for monitoring and evaluation of the NDP. The implementation of the NDP would ultimately address the social and economic challenges facing the country. These recommendations will, as a whole, simplify policy implementation analysis and ensure policy implementation in South Africa.

The writing up of this dissertation was due to a flash of inspiration after the realisation of how difficult it is to determine progress with the implementation of the NDP. It allowed for bringing together the exploration of the literature, experiences with the inconsistencies in the implementation of administrative processes, observations of perceptions and applying discretion to build a substantial piece of work. The research contributes to knowledge in the field of policy implementation analysis that will be useful for skills development in the field. In addition to skills development, it will contribute to providing a better life for all South Africans.

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APPENDICES**A. Factors that influence policy implementation: Proposals from researchers**

Factor	This or similar factors considered as critical for policy implementation	
Content	Lowi (1964, 1972) Smith (1973) Rein and Rabinovitz (1978) Barrett and Fudge (1981) Mazmanian and Sabatier (1983) Sabatier (1986) Elmore (1987) Linder and Peters (1987)	Pressman and Wildasky (1973) Van Meter and Van Horn (1975) Grindle (1980) Hargrove (1983) O'Toole (1986) Wittrock and deLeon (1986) Lester et al. (1987) Goggin et al. (1990)
Context	Smith (1973) Van Meter and Van Horn (1975) Erman (1978) Scharpf (1978) Grindle (1980) Warwick (1982) O'Toole (1986) Migdal (1988)	Hargrove (1975) Bardach (1977) Hanf (1978, 1982) Edwards (1980) Barrett and Fudge (1981) Hjern and Hull (1982) Lester et al. (1987) Goggin et al. (1990)
Commitment	Pressman and Wildasky (1973) Bernman (1978) Scharpf (1978) Edwards (1980) Williams (1982) O'Toole (1986)	Van Meter and Van Horn (1975) Lipsky (1978, 1980) Elmore (1979) Nakamura and Smallwood (1980) Warwick (1982)
Capacity	Smith (1973) Van Meter and Van Horn (1975) Edwards (1980) Williams (1982) O'Toole (1986) Goggin et al. (1990)	Hargrove (1975) Rein and Rabinovitz (1978) Barrett and Fudge (1981) Mazmanian and Sabatier (1983) Sabatier (1986)
Client and coalition	Pressman and Wildasky (1973) Bernman (1978) Lipsky (1978, 1980) Scharpf (1978) Grindle (1980) Barrett and Fudge (1981) Warwick (1982) Sabatier (1986) Migdal (1988)	Bardach (1977) Hanf (1978, 1982) Rein and Rabinovitz (1978) Elmore (1979) Nakamura and Smallwood (1980) Hjern and Hull (1982) Downing and Hanf (1983b) Wittrock and deLeon (1986)

Source: Najam (1995: 37)

B. Comparison of programme structures and purposes between the National Department of Health and the Provincial Department of Health (Western Cape)

National Health Programme structure	Provincial Health Programme structure (taken from Western Cape Health Department)
<p>Programme 2: National Health Insurance Health Planning and Systems Enablement</p> <p>Purpose: Improve access to quality health services through the development and implementation of policies to achieve universal health coverage health financing reform integrated health systems planning monitoring and evaluation and the coordination of research.</p>	
<p>Programme 3: HIV and AIDS, Tuberculosis, and Maternal and Child Health</p> <p>Purpose: Develop national policies, guidelines, norms and standards, and targets to decrease the burden of disease related to the HIV and tuberculosis epidemics; support the implementation of these; and monitor and evaluate their impact. Minimise maternal and child mortality and morbidity; and optimise good health for children, adolescents and women.</p>	<p>Programme 2: District health services including HIV and Aids, STI and TB; maternal, child and women's health and disease prevention</p> <p>Purpose: To render facility-based district health services (at clinics, community health centres and district hospitals) and community-based district health services (CBS) to the population of the Province.</p>
<p>Programme 4: Primary Health Care Services</p> <p>Purpose: Develop and oversee the implementation of legislation, policies, systems, and norms and standards for a uniform district health system, environmental health, communicable and non-communicable disease control, health promotion and improved nutrition.</p>	<p>Programme 2: District health services including HIV and Aids, STI and TB; maternal, child and women's health and disease prevention</p> <p>Purpose: To render facility-based district health services (at clinics, community health centres and district hospitals) and community-based district health services (CBS) to the population of the Province.</p>
<p>Programme 5: Hospitals, Tertiary Health Services and Human Resource Development</p> <p>Purpose: Develop policies, delivery models and clinical protocols for hospitals and emergency medical services. Provide human resources for health planning, development and management, as well as clinical training platforms for the education of health professionals. Ensure that planning of health infrastructure meets the health needs of the country.</p>	<p>Programme 3: Emergency medical services</p> <p>Purpose: To render pre-hospital emergency medical services including inter-hospital transfers, and planned patient transport; including clinical governance and coordination of emergency medicine within the Provincial Health Department.</p> <p>Programme 4: Provincial hospital services</p> <p>Purpose: Delivery of hospital services, which are accessible, appropriate, effective and provide general specialist services, including a specialised rehabilitation service, dental service, psychiatric service, as well as providing a platform for training health professionals and conducting research.</p> <p>Programme 5: Central hospital services</p> <p>Purpose: To provide tertiary and quaternary health services and to create a platform for the training of health workers and research.</p>

National Health Programme structure	Provincial Health Programme structure (taken from Western Cape Health Department)
	<p>Programme 6: Health Science & Training</p> <p>Purpose: To create training and development opportunities for actual and potential employees of the Department of Health.</p> <p>Programme 8: Health Facilities Management</p> <p>Purpose: The provision of new health facilities and the refurbishment, upgrading and maintenance of existing facilities, including health technology</p>
<p>Programme 6: Health Regulation and Compliance Management</p> <p>Purpose: Regulate the procurement of medicines and pharmaceutical supplies, including food control, and the trade in health products and health technology. Promote accountability and compliance by regulatory bodies and public entities for effective governance and improved quality of health care.</p>	
	<p>Programme 7: Health Care Support Services</p> <p>Purpose: To render support services required by the Department to realise its aims.</p>

C. Budget function groups

Budget function group	MTSF outcome	National department
1. Learning and Culture	1, 5, 14	<ul style="list-style-type: none"> • Basic Education • Higher Education and Training • Arts and Culture • Sport and Recreation
2. Health	2	<ul style="list-style-type: none"> • Health
3. Social Development	13	<ul style="list-style-type: none"> • Social Development
4. Peace and Security	3	<ul style="list-style-type: none"> • Defence and Military Veterans • National Treasury (Programme 10) • Police • Independent Police Investigative Directorate • Civilian Secretariat for Police • Justice and Constitutional Development • Correctional Services • Office of the Chief Justice • Home Affairs
5. Economic Development	4, 5, 6, 7, 10, 11, 12,13	<ul style="list-style-type: none"> • Economic Development • Mineral Resources • Trade and Industry • Tourism • Small Business Development • Public Works (Programmes 3 and 4 and construction industry policy regulation) • Labour • National Treasury (Programme 7) • Science and Technology • Environmental Affairs • Energy (except programme 4) • Transport (except programme 7) • Telecommunications and Postal Services • Water and Sanitation (except Programmes 3 sub-programme water services infrastructure and 4) • Agriculture Forestry and Fisheries • Rural Development and Land Reform • All expanded public works programmes in other national departments
6. Community Development	8, 9,12	<ul style="list-style-type: none"> • Human Settlements • Water and Sanitation (Programmes 3 and 4) • Transport (Programme 7) • Energy (Programme 4) • Cooperative Governance (local and provincial conditional grants)
7. General Public Services	11	<ul style="list-style-type: none"> • International Relations and Cooperation • National Treasury (Programme 6)

Budget function group	MTSF outcome	National department
	12	<ul style="list-style-type: none"> • The Presidency • Communications • Women • Parliament • Planning, Monitoring and Evaluation • National Treasury (all programmes except programme 6, 7, and 10) • Public Enterprises • Statistics South Africa • Cooperative Governance and Traditional Affairs • Public Service and Administration • Public Works (Programmes 1, 2 and 5)

Source: National Treasury, Estimates of National Expenditure 2018

D. Medium Term Strategic Framework 2014-2019

Outcome 2: A long and healthy life for all South Africans¹.

National Development Plan 2030 vision and trajectory

The National Development Plan (NDP) 2030 envisions a health system that works for everyone and produces positive health outcomes, and is accessible to all. By 2030, South Africa should have:

- (a) Raised the life expectancy of South Africans to at least 70 years;
- (b) Produced a generation of under-20s that is largely free of HIV;
- (c) Reduced the burden of disease;
- (d) Achieved an infant mortality rate of less than 20 deaths per thousand live births, including an under-5 Mortality rate of less than 30 per thousand;
- (e) Achieved a significant shift in equity, efficiency and quality of health service provision;
- (f) Achieved universal coverage;
- (g) Significantly reduced the social determinants of disease and adverse ecological factors.

The overarching outcome that the country seeks to achieve is ***A Long and Healthy Life for All South Africans***. The NDP asserts that by 2030, it is possible to have raised the life expectancy of South Africans (both males and females) to at least 70 years. Over the next 5-years, the country will harness all its efforts - within and outside - the health sector, to achieve this outcome. Key interventions to improve life expectancy include addressing the social determinants of health; promoting health; as well as reducing the burden of disease from both Communicable Diseases and Non-Communicable Diseases. An effective and responsive health system is essential bedrock for attaining this.

Both the NDP 2030 and the World Health Organization (WHO) converge around the fact that a well-functioning and effective health system is an important bedrock for the attainment of the health outcomes envisaged in the NDP 2030. Equitable access to quality healthcare will be achieved through various interventions that are outlined in this strategic document and will be realisable through the implementation of National Health Insurance. The trajectory for the 2030 vision, therefore, commences with strengthening of the health system, to ensure that it is efficient and responsive, and offers financial risk protection. The critical focus areas proposed by the NDP 2030 are consistent with the WHO perspective.

2. Constraints and Strategic Approach

Following the advent of the democratic dispensation in 1994, progressive policies were introduced to transform the health system into an integrated, comprehensive national health system. Despite this, and significant investment and expenditure, the South African health sector has largely been beset by key challenges inclusive of:

- (a) a complex, quadruple burden of diseases;
- (b) serious concerns about the quality of public health care;
- (c) an ineffective and inefficient health system;

- (d) ineffective operational management at the coalface; and
- (e) spiralling private health care costs.

As a result, quality health care has mostly been accessible to those who can afford and access it, and not those who need it. Until recently, South Africa's performance against key health indicators has consistently compared poorly with other countries with similar or less levels of investment and expenditure. In 2009, the current Ministry of Health embarked on a massive reform focusing on strengthening health system effectiveness by addressing health management and personnel challenges, financing challenges, and quality of care concerns. Major milestones have been achieved.

2.1. The gains made

Empirical evidence highlights several gains made by the democratic government towards improving the health status of all South Africans. These include the following:

- (a) An increase in overall life expectancy from 57.1 years in 2009 to 61.3 years in 2012¹.
- (b) A decrease in the Under-5 mortality rate (U5MR) from 56 deaths per 1 000 live births in 2009, to 41 deaths per 1 000 live births in 2012.
- (c) A decrease in the Infant Mortality Rate (IMR) from 39 deaths per 1 000 live births in 2009, to 27 deaths per 1 000 live births in 2012.
- (d) A decrease in mother-to-child transmission (MTCT) of HIV from 8.5% in 2008, to 3.5% in 2010 and to 2.7% in 2011.
- (e) An increase in the number of people initiated on antiretroviral therapy from 47 000 in 2004² to 2.4million in 2013³.
- (f) A decrease in the total number of people dying from AIDS from 300 000 in 2010 to 270 000 in 2011.
- (g) A 50% decline in the number of aged 0-4 years who acquired HIV between 2006 and 2011.
- (h) A 50% decrease in the number of people acquiring HIV infection, from 700 000 in the 1990's to 350 000 in 2011.
- (i) A 25% decrease in the annual number of infants and children younger than 5 years dying in the past two years.

Recent empirical evidence reflects that the estimated overall prevalence of HIV in South Africa increased from 10.6% in the 2008 to 12.2% in 2012, a trend attributed to the combined effects of a successfully expanded antiretroviral treatment (ART) programme and new infections⁴. This evidence also confirms that the availability and use of ART has increased survival among HIV-infected individuals. Furthermore, HIV prevalence among youth aged 15-24 years has declined from 8.7% in 2008 to 7.3% in 2012. The country's successful PMTCT programme has also resulted in a further decrease in HIV infection levels amongst infants 12 months and younger, from 2.0% in 2008 to 1.3% in 2012⁵. All these gains must be protected and consolidated during the 2014-2019 planning and implementation cycle.

3. NDP priorities to achieve the Vision

The NDP sets out nine long-term health goals for South Africa. Five of these goals relate to improving the health and well-being of the population, and the other four deal with aspects of health systems strengthening. These are as follows:

- (a) Average male and female life expectancy at birth increased to 70 years;
- (b) Tuberculosis (TB) prevention and cure progressively improved;
- (c) Maternal, infant and child mortality reduced;
- (d) Prevalence of Non-Communicable Diseases reduced by 28%
- (e) Injury, accidents and violence reduced by 50% from 2010 levels; (f) Health systems reforms completed;
- (f) Primary Health Care (PHC) teams deployed to provide care to families and communities;
- (g) Universal Health Coverage (UHC) achieved; and
- (h) Posts filled with skilled, committed and competent individuals.

The NDP 2030 states explicitly that there are no quick fixes for achieving the nine goals outlined above. The NDP also identifies a set of nine priorities that highlight the key interventions required to achieve a more effective health system, which will contribute to the achievement of the desired outcomes. These priorities include: addressing the social determinants that affect health and diseases; strengthening the health system; improving health information systems; preventing and reducing the disease burden and promoting health; achieving universal healthcare coverage through the implementation of NHI, improving human resources in the health sector; reviewing management positions and appointments and strengthening accountability mechanisms; improving quality by using evidence and creating meaningful public-private partnerships

4. Management of implementation

The implementation of the strategic priorities for steering the health sector towards Vision 2030 should continue to be managed by the Implementation Forum for Outcome 2: *“A long and healthy life for all South Africans”*, which is the National Health Council (NHC). This Implementation Forum consists of the Minister of Health and the 9 Provincial Members of the Executive Council (MECs) for Health. The Technical Advisory Committee of the NHC (TAC-NHC) functions as the Technical Implementation Forum. The TAC-NHC consists of the Director-General of the National Department of Health (DoH) and the Provincial Heads of Department (HoDs) of Health in the 9 Provinces. Both the Implementation Forum and the Technical Implementation Forum should enhance the participation of government departments responsible for line functions that are social determinants of health, such as; clean water and proper sanitation; appropriate housing; quality education and decent employment, which alleviates poverty levels.

5. MTSF sub-outcomes and component actions, responsible Ministry, indicators and targets

5.1. Sub-outcome 1: Universal Health coverage progressively achieved through implementation of National Health Insurance

The NDP 2030 explores diverse financing mechanisms for UHC including: general tax income; private health insurance; social health insurance; payroll taxes; and user fees. The NDP 2030 proposes that NHI should be implemented in a phased manner in South Africa, focusing on: improving quality of care in public facilities; reducing the relative cost of private medical care; increasing the number of medical professionals and introducing a patient record system and supporting information technology.

The NDP 2030 views general taxation as the most progressive form of raising revenue for NHI, though personal income tax, as the level of income will determine the amount of contributions, with the poor not being taxed. Social health insurance is viewed as more progressive than private health insurance in that its contributions are typically mandatory, income linked and not risk rated. One limitation of social health insurance is that it typically provides a limited set of benefits. Private health insurance is not an effective financing mechanism, due to the fact that it is voluntary, uses risk rating and may exclude many people from access, and contributions required are not linked to income. Payroll taxes, which are used in some countries to fund NHI, have diminishing advantages as coverage becomes universal. The NDP 2030 views user fees or out-of-pocket payments (OOPs) as a regressive form of health financing, which can retract from access to health services. Table 11 below reflects the specific actions required from the health sector and other relevant sectors during the MTSF cycle 2014-2019. The NDP 2030 emphasizes that meaningful public-private partnerships in the health sector are important, particularly for NHI.

Government has set itself the target of establishing a publicly funded and publicly administered National Health Insurance (NHI) Fund through legislation, to drive the roll-out of the NHI programme. The country's NHI funding model will give effect to the three key principles of the NHI: universal provision of quality health care; social solidarity through cross-subsidisation; and equity, which delivers free health care at the point of service. A solid foundation is being laid for the introduction of National Health Insurance (NHI).

A dedicated NHI technical support unit will be established within the National Department of Health to steer the implementation of NHI. First steps include:

- a. The finalisation of the NHI White Paper and the Preparation of the Draft NHI Legislation - it is envisaged that this will be finalised during 2014/15. This will provide the legislative framework for the establishment of the NHI Fund in 2016/17.
- b. Various consultation fora will be established inclusive of nine Provincial NHI consultation fora.
- c. The NHI Pilot districts will be progressively expanded over the next five years.

MEDIUM -TERM STRATEGIC FRAMEWORK 2014 - 2019**OUTCOME 2: A LONG AND HEALTHY LIFE FOR ALL SOUTH AFRICANS****Sub-outcome 1: Universal Health coverage progressively achieved through implementation of National Health**

ACTION	MINISTER RESPONSIBLE	INDICATORS	BASELINE	TARGETS
Phased implementation of the building blocks of NHI	Minister of Health	National Health Insurance (NHI) Bill produced	None	Draft National Health Insurance Bill gazetted for public consultation in 2014/15 National Health Insurance Law passed by 2015/16
		NHI fund created	None	Funding Modality for the National Health Insurance Fund including budget reallocation for the district primary health care (PHC) personal health services developed in 2014/15
		Review and expand progressively NHI Pilot projects to other districts	10 NHI pilot districts established across the Country	10 NHI pilot districts across the country in 2014/15 Review and expand progressively to other districts (Number to be determine based on review)
Establishment of NHI fora for engagement of non-state actors	Minister of Health	No of NHI Fora Established	None	9 Provincial NHI Fora established in 2014/15
Strengthen the input from patients on their experience of the health services	Minister of Health	No of Dialogues with patients groups on NHI	None	9 Provincial Dialogues with patient groups on NHI in 2014/15 and each year thereafter
Reform of Central Hospitals and increase their capacity for local decision making and accountability to facilitate semi-autonomy.	Minister of Health	No. of central hospitals with reformed management and governance structures as per the prescripts	None	All 10 central hospitals with reformed management and governance structures according to the prescripts by 2019

Sub-outcome 2: Improved quality of health care

Establish an operational Office of Health Standards Compliance (OHSC)	Minister of Health	Regulations for the functioning of the OHSC promulgated and implemented	Board of the OHSC established in January 2014	Finalise regulation for the functioning of the OHSC in 2014/15 Regulations promulgated for the functioning of the OHSC implemented from 2015/16
Appointment of the Ombudsperson and establishment of a functional office	Minister of Health	Establish functional Ombuds Person Office	Board of the OHSC established in January 2014	Functional Ombuds Person office established by March 2015
Improve compliance with National Core Standards	Minister of Health	Proportion of Regional, Tertiary and Central Hospitals compliant with the extreme and vital measures of the national core standards for health facilities	Non-compliance with extreme and vital measures of the National Core Standards	100% compliance with National Core Standards in 5 Central Hospitals in 2014/15 100% compliance National Core Standards in 10 Central, 17 Tertiary, 46 Regional and 63 Specialised Hospitals by 2019
Monitor the existence of and progress on annual and regular plans that addresses breaches of quality, safety and compliance in all public sector	Minister of Health	Percentage of Health Establishments that have developed an annual Quality Improvement Plan (QIP) based on a self-assessment (gap assessment) or OHSC inspection	40%	45% in 2014/15 95% by 2019

MEDIUM -TERM STRATEGIC FRAMEWORK 2014 - 2019**OUTCOME 2: A LONG AND HEALTHY LIFE FOR ALL SOUTH AFRICANS**

OUTCOME 2: ALONG AND HEALTHY LIFE FOR ALL SOUTH AFRICANS				
ACTION	MINISTER RESPONSIBLE	INDICATORS	BASELINE	TARGETS
Improve the acceptability, quality and safety of health services by increasing user and community feedback and involvement	Minister of Health	Patient satisfaction surveys rate (proportion of health facilities that conduct patient satisfaction surveys at least once a year)	65%	70% in 2014/15 100% by 2019
		Patient satisfaction rate	New Indicator	82,28 in 2014/15 90%by 2019
Sub-outcome 3. Implement the re-engineering of Primary Health Care				
ACTION	MINISTER RESPONSIBLE	INDICATORS	BASELINE	TARGETS
Expand coverage of ward-based primary health care outreach teams (WBPHCOTs)	Minister of Health	Number of functional WBPHCOTs	1063 functional WBPHCOTs	1500 functional WBPHCOTs in 2014/15 3000 functional WBPHCOTs by 2019
Accelerate appointment of District Clinical Specialist Teams		Number of Districts with fully fledged District Clinical Specialist Teams appointed	34/52 Districts with at least 3 members of District Clinical Specialist Teams	40 districts in 2014/15 52 Districts by 2019
Expand and strengthen integrated school health services	Minister of Health Minister of Basic Education	School Grade 1 screening coverage (annualised)	7%	30% in 2014/15 60% by 2019
		School Grade 8 screening coverage (annualised)	4%	25% in 2014/15 50% by 2019
Ensure quality primary health care services with optimally functional clinics by developing all clinics into Ideal Clinics	Minister of Health	Number of primary health care clinics in the 52 districts that qualify as Ideal Clinics	None	50 clinics in 2014/15 1500 clinics in the 52 districts (70%) qualify as Ideal Clinics by 2019
Improve intersectional collaboration with a focus on population wide interventions (to promote healthy lifestyles in the whole population) and community based interventions (to promote healthy lifestyles in communities) and addressing social and economic determinants of Non-Communicable Diseases	Primary responsibility: Minister of Health, Supporting Ministers: * Minister of Basic Education * Minister of Correctional Services * Minister of Justice and Constitutional Development * Minister of Social Development * Minister of Trade and Industry Minister of Transport	Establish the National Health Commission	None	Consultations with key government departments, civil society and other key stakeholders to facilitate the establishment of the intersectoral forum in 2014/15 National Health Commission established and fully functional by March 2019

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MEDIUM -TERM STRATEGIC FRAMEWORK 2014 - 2019**OUTCOME 2: A LONG AND HEALTHY LIFE FOR ALL SOUTH AFRICANS**

ACTION	MINISTER RESPONSIBLE	INDICATORS	BASELINE	TARGETS
Reduce risk factors for Non-Communicable Diseases (NCDs) by designing and implementing a mass mobilization strategy focusing on healthy options, including the reduction of obesity	Minister of Health	% of women who are obese % of men who are obese % of children under five who are obese	61% in 2014 31% in 2014 25% in 2012	51% in 2019 (10% reduction) 21% in 2019(10% reduction) 15% in 2019 (10% reduction)
Improve awareness of and management of prevalence of NCDs through screening and counselling for high blood pressure and raised blood glucose levels	Minister of Health	Number of people counselled and screened for high blood pressure	None (New Indicator)	500 000 in 2014/15 5 million people screened for high blood pressure and referred for treatment where necessary by 2019
		Number of people counselled and screened for raised blood glucose levels	None (New Indicator)	500 000 in 2014/15 5million people screened for raised blood glucose levels and referred for treatment where necessary by 2019
Expand rehabilitation services	Minister of Health	Proportion of health facilities accessible to people with disabilities	Draft framework and model for rehabilitation services produced	15 Districts implementing the framework and model for rehabilitation services in 2014/15 80% of all health facilities are accessible to people with disabilities and are meeting the 5 compulsory criteria of accessibility by 2019
		Proportion of Health Facilities providing rehabilitation services	Draft framework and model for rehabilitation services produced	Draft framework and model for rehabilitation services developed and approved in 2014/15 80% of all health facilities providing rehabilitation services by 2019
		Number of Health Districts providing community based rehabilitation	Draft framework and model for rehabilitation services produced	52 Districts where Community Based Rehabilitation Services are available by 2019 Fully constituted rehabilitation teams inclusive of community based rehabilitation workers available in 52 Districts by 2019
Screen the population for mental health disorders	Minister of Health	Percentage people screened for mental disorders	25% of people with mental disorders screened (prevalence of mental disorders is estimated at 16.5% of the population) s	25% of the prevalent population screened for mental disorders in 2014/15 35% of prevalent population treated for mental disorders by 2019
		Percentage of people treated for mental disorders	25% of the prevalent population with mental disorder treated	25% of the prevalent population screened for mental disorders in 2014/15 35% of prevalent population treated for mental disorders by 2019

MEDIUM -TERM STRATEGIC FRAMEWORK 2014 - 2019**OUTCOME 2: A LONG AND HEALTHY LIFE FOR ALL SOUTH AFRICANS**

ACTION	MINISTER RESPONSIBLE	INDICATORS	BASELINE	TARGETS
		Percentage of people treated for mental disorders	25% of the prevalent population with mental disorder treated	25% of the prevalent population screened for mental disorders in 2014/15 35% of prevalent population treated for mental disorders by 2019
Contribute to a comprehensive and intersectoral response by government to violence and injury, and to ensure action	The Ministers of Police; Justice and Correctional Services; Transport, with the Minister of Health playing a supporting role	Implementation of a comprehensive and intersectoral response to combat violence and injury, and significantly reduce the country's injury death rate	Integrated Strategic Framework for the Prevention of Injury and Violence in South Africa produced in March 2012	Comprehensive and intersectoral response to combat violence and injury, and significantly reduce the country's injury death rate implemented by 2019
Sub-outcome 4. Reduced health care costs				
Establish a National Health Pricing Commission to regulate health care in the private sector	Minister of Health	National Health Pricing Commission established	None	Draft National Pricing Commission Bill gazetted for public consultation in 2014/15 National Health Pricing Commission established by 2017/18
Sub-outcome 5. Improved human resources for health				
Increase production of Human Resources of Health	Minister of Health and Minister of Higher Education and Training	Intake of Medicine Students increased	1 767 new medical11 students 961 medical students enrolled into the RSA-Cuba programme	2 000 new medical students enrolled annually (on average) by 2019
		Number of nursing colleges accredited to offer the new nursing curriculum	None	5 public nursing colleges accredited to offer the new nursing qualification in 2014/15 All 220 public nursing colleges by 2019
Finalise and adopt norms for the provision of Human Resource for Health	Minister of Health Minister of Finance Minister of Higher Education and Training	Norms for the provision of Human Resources for Health finalised and adopted	Draft guidelines for the development of Primary Health Care staffing norms are available	Draft guidelines for the development of Primary Health Care staffing norms are adopted in 2014/15 Norms for all levels of health care adopted by 2016
Produce, cost and implement Human Resource for Health Plans	Minister of Health Minister of Finance	Number of Provincial Human Resources for Health Plans produced	None	9 x Provincial Human Resources for Health Plans published by 2016/17, informed by national norms

MEDIUM -TERM STRATEGIC FRAMEWORK 2014 - 2019**OUTCOME 2: A LONG AND HEALTHY LIFE FOR ALL SOUTH AFRICANS**

ACTION	MINISTER RESPONSIBLE	INDICATORS	BASELINE	TARGETS
Sub-outcome 6: Improved health management and leadership				
Improve financial management skills and outcomes for the health sector	Minister of Health	Number of Health Departments receiving unqualified audit reports from the Auditor-General of South Africa (AGSA)	3 Health Departments in 2012/13 (National DoH; North West and Western Cape)	4 health departments receiving unqualified audit reports from the AGSA for 2013/14 (National DoH and 3 Provincial DoHs) in 2014/15 5 health departments by 2017/18 (1 National and 4 Provincial DoHs) by 2019 7 Departments by 2019 (1 National and 6 Provincial DoHs) National DoH receiving a clean audit report from the AGSA by 2018/19
Improve Health District governance and strengthen management and leadership of the district health system	Minister of Health	Number of primary health care facilities with functional clinic committees/ district hospital boards	2256 primary health care facilities with functional clinic committees/ district hospital boards	Implementation strategy for establishing functional clinic committees approved in 2014/15 Monitoring and evaluation system implemented in 2014/15 3760 primary health care facilities with functional clinic committees/ district hospital boards by 2019
Improve Health District governance and strengthen management and leadership of the district health system	Minister of Health	Number of districts with appropriate management structures for primary health care facilities	None	Appropriate management structures for primary health care facilities approved and resources secured in 2014/15 52 districts with uniform management structures for primary health care facilities by 2019
Ensure equitable access to specialised health care by increasing the training platform for medical specialists	Minister of Health	Number of gazetted hospitals providing the full package of tertiary services	None	17 gazetted tertiary hospitals providing the full package of Tertiary 1 services by 2019
Establish the Academy for Leadership and Management in Health to address skills gap at all levels of the health care system	Minister of Health	Training programme for Hospital CEOs and PHC Facility Managers developed	Health Management and Leadership Academy established in 2012	Dedicated training programme for Hospital CEOs, Hospitals Management Teams, District Managers, District Management Teams and PHC Facility Managers developed by March 2016 90% of Hospitals CEOs, District Managers and PHC Facility Managers trained by 2019
	Minister of Health	Establish a national and international link of practising Health Managers	Health Management and Leadership Academy established in 2012	National and international link of practising Health Managers established by March 2016 90% of Hospitals CEOs, District Managers and PHC Facility Managers benefitting from the national and international link by 2019
	Minister of Health	Establish a coaching and mentoring program for Health Managers	None	Coaching and mentoring programme established by March 2016 90% of Hospitals CEOs, District Managers and PHC Facility Managers benefitting from the coaching and mentoring programme, resulting in improvements in service delivery by 2019
	Minister of Health	Knowledge hub developed and functional	None	Knowledge hub developed and functional by March 2017 60% of Hospitals CEOs, District Managers and PHC Facility Managers benefitting from the knowledge hub by March 2019

MEDIUM -TERM STRATEGIC FRAMEWORK 2014 - 2019**OUTCOME 2: A LONG AND HEALTHY LIFE FOR ALL SOUTH AFRICANS**

ACTION	MINISTER RESPONSIBLE	INDICATORS	BASELINE	TARGETS
		Number of men medically circumcised	600 000 (2012/13)	1 million in 2014/15 5 million by March 2019
Implement essential interventions to reduce HIV mortality	Minister of Health	HIV Mortality	34.6% in 2011	17.3% by March 2017 (50% reduction)
Improve the effectiveness and efficiency of the TB control programme	Minister of Health	TB new client treatment success rate	79%	82% in 2014/15 >85% by 2019
Improve TB treatment outcomes	Minister of Health	TB (new pulmonary) defaulter rate	6%	6% in 2014/15 <5% by 2019
Implement interventions to reduce TB mortality	Minister of Health	TB Death Rate	6%	6% in 2014/15 <3% by 2019 (50% reduction)
Improve the effectiveness and efficiency of the MDR-TB control programme		Number of professional nurses trained to initiate MDR-TB treatment	5	25 in 2014/15 400 Professional Nurses trained to initiate MDR-TB treatment by 2019
Combat MDR TB by ensuring access to treatment	Minister of Health	MDR-TB confirmed treatment initiation rate	56%	60% in 2014/15 80% by 2019
	Minister of Health	MDR treatment success rate	42%	50% in 2014/15 >65% by 2019
Sub-outcome 9: Maternal, infant and child mortality reduced				
Improve the implementation of Basic Antenatal Care	Minister of Health	Antenatal visits before 20 weeks rate	50.60%	65% in 2014/15 70% by 2019
	Minister of Health	Proportion of mothers visited within 6 days of delivery of their babies	74.80%	90% in 2014/15 80% by 2019
Expand the PMTCT coverage to pregnant women	Minister of Health	Antenatal client initiated on ART rate	90%	95% in 2014/15 98% by 2019
	Minister of Health	Infant 1st Polymerase Chain Reaction (PCR) test positive around 6 week rate	2.50%	2% in 2014/15 <1.5% by 2019
Protect children against vaccine preventable diseases	Minister of Health	Immunisation coverage under 1 year (annualised)	94%	90% in 2014/15 95% by 2019
		DTaP-IPV/HIV 3- Measles 1st dose drop-out rate	8%	7% in 2014/15 <5% by 2019
		Measles 2nd dose coverage	81.80%	85% in 2014/15 95% by 2019
		Confirmed measles case incidence per million total population	<5 per 1,000,000	<4 per 1,000,000 in 2014/15 <1 per 1,000,000 by 2019
		Child under 5 years diarrhoea case fatality rate	4.20%	3,5% in 2014/15 <2% by 2019
		Child under 5 years severe acute malnutrition case fatality rate ²¹⁴	9%	8% in 2014/15 5% by 2019

MEDIUM -TERM STRATEGIC FRAMEWORK 2014 - 2019**OUTCOME 2: A LONG AND HEALTHY LIFE FOR ALL SOUTH AFRICANS**

ACTION	MINISTER RESPONSIBLE	INDICATORS	BASELINE	TARGETS
Expand and strengthen integrated school health services	Minister of Health Minister of Basic Education	School Grade 1 screening coverage (annualised)	7%	30% in 2014/15 60% by 2019
		School Grade 8 screening coverage (annualised)	4%	25% in 2014/15 50% by 2019
Expand access to sexual and reproductive health by expanding availability of contraceptives and access to cervical and HPV cancer screening services	Minister of Health	Couple year protection	36%	55% in 2014/15 80% by 2019
	Minister of Health	Cervical cancer screening Coverage (amongst women)	55%	60% in 2014/15 70% by 2019
	Minister of Health	Human Papilloma Virus coverage 1st dose (HPV Vaccine Coverage amongst 9 and 10 year old girls)	None (new indicator)	80% in 2014/15 90% by 2019
Sub-outcome 10: Efficient Health Management Information System developed and implemented for improved decision				
Develop a complete System design for a National Integrated Patient based information system	Minister of Health	System design for a National Integrated Patient based information system completed	Health Normative Standards Framework for eHealth produced and gazetted in terms of the National Health Act (61 of 2003) in 2014	Business architecture for a National Integrated Patient Based Information System developed in 2014/15 System design for a National Integrated Patient based information system completed by March 2018 National Integrated Patient based information system implemented from April 2018
	Minister of Telecommunications & Postal Services	Percentage of hospitals implementing an integrated ICT Health System through broadband access		80% by 2019

OUTCOME 2: A LONG AND HEALTHY LIFE FOR ALL SOUTH AFRICANS

IMPACT (OR OUTCOMES) expected from the interventions of the health sector during 2014-2019.				
Impact Indicator	Minister responsible	Baseline 2009 -20	Baseline 2012	2019 targets
Life expectancy at birth: Total		56.5 years	60.0 years (increase of 3,5years)	63 years by March 2019 (increase of 3 years)
Life expectancy at birth: Male	Minister of Health	54.0 years	57.2 years (increase of 3,2 years)	60.2 years by March 2019 (increase of 3 years)
Life expectancy at birth: Female		59.0 years	62.8 years (increase of 3,8years)	65.8 years by March 2019 (increase of 3years)
Under-5 Mortality Rate (U5MR)		56 per 1,000 live-births	41 per 1,000 live-births (25% decrease)	23 per 1,000 live-births by March 2019 (20% decrease)
Neonatal Mortality Rate			14 per 1000 live births	6 per 1000 live births
Infant Mortality Rate (IMR)		39 per 1,000 live-births	27 per 1,000 live-births (25% decrease)	18 per 1000 live births
Child under 5 years diarrhoea case Fatality rate			4.2%	<2%
Child under 5 years severe acute malnutrition case fatality rate			9%	<5%
Maternal Mortality Ratio		304 per 100,000 live-births	269 per 100,000 live-births	Downward trend <100 per 100,000live-births by March 2019

E. Comparison of MTSF performance indicators with programme performance indicators, Outcome 2: A long and healthy life for all South Africans

Responsible Department	Performance indicator per MTSF sub-outcome	Programme performance indicator per as per 2016/17 APP
	Sub-Outcome 1: Universal Health coverage progressively achieved through implementation of National Health Insurance	PROGRAMME 2: NATIONAL HEALTH INSURANCE, HEALTH PLANNING AND SYSTEMS ENABLEMENT Purpose: Improve access to quality health services through the development and implementation of policies to achieve universal health coverage, health financing reform, integrated health systems planning, monitoring and evaluation, and research.
Department of Health	<ul style="list-style-type: none"> National Health Insurance (NHI) Bill produced 	White Paper on NHI Legislation for NHI
	<ul style="list-style-type: none"> NHI fund created 	Establishment of the National Health Insurance Fund
	<ul style="list-style-type: none"> Review and expand progressively NHI Pilot project to other districts 	
	<ul style="list-style-type: none"> No of NHI Fora Established 	
	<ul style="list-style-type: none"> No of Dialogues with patients groups on NHI 	
	<ul style="list-style-type: none"> No. of central hospitals with reformed management and governance structures as per the prescripts 	
	Sub-outcome 2: Improved quality of health care	
	<ul style="list-style-type: none"> Regulations for the functioning of the Office of Health Standards Compliance (OHSC) promulgated and implemented 	
	<ul style="list-style-type: none"> Establish functional Ombuds Person Office 	
	<ul style="list-style-type: none"> Proportion of Regional, Tertiary and Central Hospitals compliant with the extreme and vital measures of the national core standards for health facilities 	
	<ul style="list-style-type: none"> Percentage of Health Establishments that have developed an annual Quality Improvement Plan (QIP) based on a self- assessment (gap assessment) or OHSC inspection 	
	<ul style="list-style-type: none"> Patient satisfaction surveys rate (proportion of health facilities that conduct patient satisfaction surveys at least once a year) 	National Survey to measure Patient Experience of Care
	<ul style="list-style-type: none"> Patient satisfaction rate 	Patient Experience of care self-assessment survey tool

Responsible Department	Performance indicator per MTSF sub-outcome	Programme performance indicator per as per 2016/17 APP
	Sub-outcome 3: Implement the re-engineering of Primary Health Care	PROGRAMME 4: PRIMARY HEALTH CARE SERVICES (PHC) 4.1 PROGRAMME PURPOSE Develop and oversee the implementation of legislation, policies, systems, and norms and standards for a uniform well-functioning district health system, environmental health services, communicable disease control, non-communicable disease control as well as health promotion and nutrition.
	<ul style="list-style-type: none"> Number of functional ward based primary health care outreach teams (WBPHCOTs) 	Number of functional WBPHCOTs
	<ul style="list-style-type: none"> Number of Districts with fully fledged District Clinical Specialist Teams appointed 	
Departments of Health and Basic Education	<ul style="list-style-type: none"> School Grade 1 screening coverage (annualised) 	School Grade 1 screening coverage
	<ul style="list-style-type: none"> School Grade 8 screening coverage (annualised) 	School Grade 8 screening coverage
Department of Health	<ul style="list-style-type: none"> Number of primary health care clinics in the 52 districts that qualify as Ideal Clinics 	Number of primary health care facilities in the 52 districts that qualify as Ideal Clinics
	<ul style="list-style-type: none"> Establish the National Health Commission 	
	<ul style="list-style-type: none"> % of women who are obese 	
	<ul style="list-style-type: none"> % of men who are obese 	
	<ul style="list-style-type: none"> % of children under five who are obese 	
	<ul style="list-style-type: none"> Number of people counselled and screened for high blood pressure 	
	<ul style="list-style-type: none"> Number of people counselled and screened for raised blood glucose levels 	
	<ul style="list-style-type: none"> Proportion of health facilities accessible to people with disabilities 	
	<ul style="list-style-type: none"> Proportion of Health Facilities providing rehabilitation services 	
	<ul style="list-style-type: none"> Number of Health Districts providing community based rehabilitation 	
	<ul style="list-style-type: none"> Percentage people screened for mental disorders 	Number of District Mental Health Teams established
		NATIONAL HEALTH INSURANCE GRANT Purpose: <ul style="list-style-type: none"> Test innovations in health services delivery and provision for implementing NHI, allowing for each district to interpret and design innovations relevant to its specific context, in line with the vision for realising universal health coverage for all.

Responsible Department	Performance indicator per MTSF sub-outcome	Programme performance indicator per as per 2016/17 APP
		<ul style="list-style-type: none"> To undertake health system strengthening activities in identified focus and priority areas. To assess the effectiveness of interventions/activities undertaken in the districts funded through this grant <ul style="list-style-type: none"> Existing PHC teams equipped to provide relevant health services as indicated in the Business Plans Number of Approved business plans for all pilot districts and submitted to National Treasury Number of Quarterly reports submitted to National Treasury Consolidated annual performance evaluation report
		<p>NATIONAL HEALTH INSURANCE INDIRECT GRANT: HUMAN PAPILLOMAVIRUS COMPONENT (HPV)</p> <ul style="list-style-type: none"> To enable the health sector to develop and effective response to preventing cervical cancer by making available HPV vaccination for grade 4 school girls. To fund the introduction of HPV vaccination programme in schools. <ul style="list-style-type: none"> % of eligible grade 4 school girls who receive the HPV vaccination % of schools with grade 4 girls reached by the HPV vaccination team
		<p>NATIONAL HEALTH INSURANCE INDIRECT GRANT: IDEAL CLINIC COMPONENT (IC) Purpose: To enable the health sector to address the deficiencies in the primary health care facilities systematically to yield big fast results.</p> <ul style="list-style-type: none"> Number of primary health care facilities that will be ideal. <p>NATIONAL HEALTH INSURANCE INDIRECT GRANT: HEALTH FACILITY REVITALISATION COMPONENT Purpose:</p> <ul style="list-style-type: none"> To create an alternative track to improve spending, performance and monitoring and evaluation on infrastructure in National Health Insurance (NHI) pilot districts. To enhance capacity and capability to deliver infrastructure for NHI pilots <ul style="list-style-type: none"> Approved Annual Implementation Plan National Health Insurance Indirect Grant Monitoring number of projects that receive funding from National Health Insurance Indirect Grant through the

Responsible Department	Performance indicator per MTSF sub-outcome	Programme performance indicator per as per 2016/17 APP
		<p>Project Management Information System</p> <p>NATIONAL HEALTH INSURANCE INDIRECT GRANT: HEALTH PROFESSIONALS CONTRACTING COMPONENT</p> <p>Purpose:</p> <ul style="list-style-type: none"> • Assessment of the implications of the NHI reforms on the public sector services • To develop and implement innovative models for purchasing services from health practitioners in the ten NHI pilot districts • To develop and implement innovative models for the dispensing and distribution of chronic medication in the ten NHI pilot districts. • Number of Quarterly Reports Submitted • Number of Annual Performance Evaluation Report submitted • Appropriate and innovative models for purchasing services from health professionals identified and tested • Implement an alternative distribution model for chronic medication • Development of a base capitation model to inform the risk-adjusted capitation approach for PHC services
		<p>PROGRAMME 5: HOSPITAL, TERTIARY HEALTH SERVICES AND HUMAN RESOURCE DEVELOPMENT</p> <p>5.1 PROGRAMME PURPOSE</p> <p>The purpose of the programme is to develop policies, delivery models and clinical protocols for hospitals and emergency medical services. It is also to ensure alignment of academic medical centres with health workforce programmes, training of health professionals and to ensure the planning of health infrastructure meet the health needs of the country. This programme will also assist the government to achieve the population health goals of the country through nursing and midwifery, by the provision of expert policy and technical advice and recommendations on the role of nurses in attainment of desired health outputs.</p>
	<ul style="list-style-type: none"> • Percentage of people treated for mental disorders 	<p>Number of District and Regional hospitals with mental health inpatient units established</p>
The Ministers of Police; Justice and Correctional Services; and Transport, with the Minister of Health playing a supporting role	<ul style="list-style-type: none"> • Implementation of a comprehensive and inter-sectoral response to combat violence and injury, and significantly reduce the country's injury death rate 	Not found

Responsible Department	Performance indicator per MTSF sub-outcome	Programme performance indicator per as per 2016/17 APP
	Sub-outcome 4: Reduced health care costs	PROGRAMME 2: NATIONAL HEALTH INSURANCE, HEALTH PLANNING AND SYSTEMS ENABLEMENT Purpose: Improve access to quality health services through the development and implementation of policies to achieve universal health coverage, health financing reform, integrated health systems planning, monitoring and evaluation, and research
Department of Health	<ul style="list-style-type: none"> National Health Pricing Commission established 	<ul style="list-style-type: none"> Regulations pertaining to Uniform Patient Fee Schedule (UPFS) developed Single Exit Price Adjustments Published and Implemented Annually
	Sub-outcome 5: Improved human resources for health	PROGRAMME 5: HOSPITAL, TERTIARY HEALTH SERVICES AND HUMAN RESOURCE DEVELOPMENT 5.1 PROGRAMME PURPOSE The purpose of the programme is to develop policies, delivery models and clinical protocols for hospitals and emergency medical services. It is also to ensure alignment of academic medical centres with health workforce programmes, training of health professionals and to ensure the planning of health infrastructure meet the health needs of the country. This programme will also assist the government to achieve the population health goals of the country through nursing and midwifery, by the provision of expert policy and technical advice and recommendations on the role of nurses in attainment of desired health outputs.
Departments of Health and Higher Education	<ul style="list-style-type: none"> Intake of Medicine Students increased 	
	<ul style="list-style-type: none"> Number of nursing colleges accredited to offer the new nursing curriculum 	New basic Nursing qualification programmes and draft curricula developed
	<ul style="list-style-type: none"> Norms for the provision of Human Resources for Health finalised and adopted 	Number of health facilities benchmarked against staffing normative guides
	<ul style="list-style-type: none"> Number of Provincial Human Resources for Health Plans produced 	
		HEALTH PROFESSIONS TRAINING AND DEVELOPMENT GRANT Purpose: Support provinces to fund services costs associated with the training of health science trainees on the public service platform <ul style="list-style-type: none"> Number of Business Plans approved and submitted to National Treasury. Number of site visits. Number of Quarterly reports submitted Number of Annual performance reports submitted

Responsible Department	Performance indicator per MTSF sub-outcome	Programme performance indicator per as per 2016/17 APP
	Sub-outcome 6: Improved health management and leadership	PROGRAMME 4: PRIMARY HEALTH CARE SERVICES (PHC) 4.1 PROGRAMME PURPOSE Develop and oversee the implementation of legislation, policies, systems, and norms and standards for a uniform well-functioning district health system, environmental health services, communicable disease control, non-communicable disease control as well as health promotion and nutrition.
Department of Health	<ul style="list-style-type: none"> Number of Health Departments receiving unqualified audit reports from the Auditor-General of South Africa (AGSA) 	
	<ul style="list-style-type: none"> Number of primary health care facilities with functional clinic committees/ district hospital boards 	Number of primary health care facilities with functional committees
	<ul style="list-style-type: none"> Number of districts with appropriate management structures for primary health care facilities 	Number of districts with uniform management structures
	<ul style="list-style-type: none"> Number of gazetted hospitals providing the full package of tertiary services 	
	<ul style="list-style-type: none"> Training programme for Hospital CEOs and PHC Facility Managers developed 	
	<ul style="list-style-type: none"> Establish a national and international link of practising Health Managers 	
	<ul style="list-style-type: none"> Establish a coaching and mentoring program for Health Managers 	Number of managers accessing the coaching and mentoring Programme
	<ul style="list-style-type: none"> Knowledge hub developed and functional 	Number of managers using the knowledge hub information system
	Sub-outcome 7: Improved health facility planning and infrastructure delivery	PROGRAMME 5: HOSPITAL, TERTIARY HEALTH SERVICES AND HUMAN RESOURCE DEVELOPMENT 5.1 PROGRAMME PURPOSE The purpose of the programme is to develop policies, delivery models and clinical protocols for hospitals and emergency medical services. It is also to ensure alignment of academic medical centres with health workforce programmes, training of health professionals and to ensure the planning of health infrastructure meet the health needs of the country. This programme will also assist the government to achieve the population health goals of the country through nursing and midwifery, by the provision of expert policy and technical advice and recommendations on the role of nurses in attainment of desired health outputs.

Responsible Department	Performance indicator per MTSF sub-outcome	Programme performance indicator per as per 2016/17 APP
	<ul style="list-style-type: none"> Percentage of facilities that comply with gazetted infrastructure Norms & Standards 	Number of new facilities that comply with gazetted infrastructure Norms & Standards
	<ul style="list-style-type: none"> Number of additional clinics and community health centres constructed 	Number of clinics and Community Health Centres constructed or revitalised
	<ul style="list-style-type: none"> Number of additional hospitals constructed or revitalised 	Number of hospitals constructed or revitalised
	<ul style="list-style-type: none"> Number of health facilities that have undergone -major and minor refurbishment 	Number of facilities maintained, repaired and/or refurbished outside NHI pilot Districts
	<ul style="list-style-type: none"> Number of Provincial Departments of Health that have established Service Level Agreements (SLAs) with Departments of Public Works 	
		NATIONAL TERTIARY SERVICES GRANT Purpose: <ul style="list-style-type: none"> To ensure provision of tertiary health services for all South African citizens (including documented foreign nationals) To compensate tertiary facilities for the additional costs associated with the provision of these services <ul style="list-style-type: none"> Number of Service Level Agreements (SLA) approved and submitted to National Treasury Number of Business Plans approved and submitted to National Treasury. Number of site visits. Number of Quarterly reports submitted to National Treasury Number of Annual performance reports submitted to National Treasury
	Sub-outcome 8: HIV & AIDS and Tuberculosis prevented and successfully managed	PROGRAMME 3: HIV / AIDS, TB AND MATERNAL AND CHILD HEALTH 3.1 PROGRAMME PURPOSE Develop national policies, guidelines, norms and standards, and targets to decrease the burden of disease related to the HIV and tuberculosis epidemics; to minimise maternal and child mortality and morbidity; and to optimise good health for children, adolescents and women; support the implementation of national policies, guidelines, and norms and standards; and monitor and evaluate the outcomes and impact of these.
	<ul style="list-style-type: none"> Number of men and women 15–49 tested for HIV 	Number of clients tested for HIV
	<ul style="list-style-type: none"> Number of people screened for TB 	
Departments of Health Justice and Correctional Services	<ul style="list-style-type: none"> Percentage of correctional services centres conducting routine TB screening 	% of inmates screened for TB on admission
Departments of Health	<ul style="list-style-type: none"> Number of male condoms distributed 	Male condoms distributed

Responsible Department	Performance indicator per MTSF sub-outcome	Programme performance indicator per as per 2016/17 APP
	<ul style="list-style-type: none"> Number of female condoms distributed 	Female Condoms distributed
	<ul style="list-style-type: none"> Number of men medically circumcised 	Number of medical male circumcisions performed
	<ul style="list-style-type: none"> HIV Mortality 	
	<ul style="list-style-type: none"> TB new client treatment success rate 	TB client treatment success rate
	<ul style="list-style-type: none"> TB (new pulmonary) defaulter rate 	
	<ul style="list-style-type: none"> TB Death Rate 	TB Client death rate
	<ul style="list-style-type: none"> Number of professional nurses trained to initiate MDR-TB treatment 	
	<ul style="list-style-type: none"> MDR-TB confirmed treatment initiation rate 	
	<ul style="list-style-type: none"> MDR treatment success rate 	TB MDR treatment success rate
		COMPREHENSIVE HIV/AIDS GRANT Purpose: <ul style="list-style-type: none"> To enable the health sector to develop an effective response to HIV/AIDS and TB To support the Department with the PEPFAR transition process <ul style="list-style-type: none"> Number of patients on ART remaining in care Number of Antenatal Care (ANC) clients initiated on life-long ART Number of 1st Polymerase Chain Reaction (PCR) test around 10 weeks Number of HIV positive clients screened for TB Number of HIV positive patients that started on IPT Number of HIV tests done Number of Medical Male Circumcisions performed
	Sub-outcome 9: Maternal, infant and child mortality reduced	PROGRAMME 3: HIV / AIDS, TB AND MATERNAL AND CHILD HEALTH 3.1 PROGRAMME PURPOSE Develop national policies, guidelines, norms and standards, and targets to decrease the burden of disease related to the HIV and tuberculosis epidemics; to minimise maternal and child mortality and morbidity; and to optimise good health for children, adolescents and women; support the implementation of national policies, guidelines, and norms and standards; and monitor and evaluate the outcomes and impact of these.
	<ul style="list-style-type: none"> Antenatal visits before 20 weeks rate 	Antenatal 1st visit before 20 weeks rate
	<ul style="list-style-type: none"> Proportion of mothers visited within 6 days of delivery of their babies 	Mother postnatal visit within 6 days rate

Responsible Department	Performance indicator per MTSF sub-outcome	Programme performance indicator per as per 2016/17 APP
	<ul style="list-style-type: none"> Antenatal client initiated on ART rate 	Annual National HIV Antenatal Prevalence Survey
	<ul style="list-style-type: none"> Infant 1st Polymerase Chain Reaction (PCR) test positive around 6 week rate 	Infant 1st PCR test positive around 10 weeks rate
	<ul style="list-style-type: none"> Immunisation coverage under 1 year (annualised) 	Immunisation coverage under 1 year
	<ul style="list-style-type: none"> DTaP-IPV/HIV 3-Measles 1st dose dropout rate 	DTaP-IPV-HB-Hib 3 - Measles 1st dose drop-out rate
	<ul style="list-style-type: none"> Measles 2nd dose coverage 	Measles 2nd dose coverage
	<ul style="list-style-type: none"> Confirmed measles case incidence per million total population 	Confirmed measles case incidence per million total population
	<ul style="list-style-type: none"> Child under 5 years diarrhoea case fatality rate 	Child under 5 years diarrhoea case fatality rate
	<ul style="list-style-type: none"> Child under 5 years severe acute malnutrition case fatality rate 	Child under 5 years' severe acute malnutrition case fatality rate
	<ul style="list-style-type: none"> School Grade 1 screening coverage (annualised) 	School Grade 1 screening coverage
	<ul style="list-style-type: none"> School Grade 8 screening coverage (annualised) 	School Grade 8 screening coverage
	<ul style="list-style-type: none"> Couple year protection rate 	Couple year protection rate
	<ul style="list-style-type: none"> Cervical cancer screening Coverage (amongst women) 	Cervical cancer screening coverage
	<ul style="list-style-type: none"> Human Papilloma Virus coverage 1st dose ((HPV Vaccine Coverage amongst 9 and 10 year old girls) 	HPV 1st dose coverage HPV 2nd dose coverage
	Sub-outcome 10: Efficient Health Management Information System developed and implemented for improved decision making	PROGRAMME 2: NATIONAL HEALTH INSURANCE, HEALTH PLANNING AND SYSTEMS ENABLEMENT Purpose: Improve access to quality health services through the development and implementation of policies to achieve universal health coverage, health financing reform, integrated health systems planning, monitoring and evaluation, and research.
	<ul style="list-style-type: none"> System design for a National Integrated Patient based information system completed 	
Department of Telecommunications & Postal Services		Programme 5: ICT Infrastructure Support. The purpose of Programme 5 is to promote investment in robust, reliable, secure and affordable ICT infrastructure that supports the provision of a multiplicity of applications and services.
Minister of Telecommunications & Postal Services	<ul style="list-style-type: none"> Percentage of hospitals implementing an integrated ICT Health System through broadband access 	Connectivity of identified Government Institutions in line with Broadband Connectivity Implementation plan'
Total number of indicators	77	36 (indicators in blue not counted)

F. Programme of Action, Outcome 2: A long and healthy life for all South Africans

Sub-Outcome	Key Actions	Indicators	Baseline	Target (17/18)	Apr-June 2017	July-Sept 2017	Oct-Dec 2017	Jan-Mar 2018	Data Sources
Impact Indicators	Impact Indicators	Life expectancy at birth: Total	62.9 years	Life expectancy of at least 65 years by March 2019	63.3 (2015)	63.3 years (2015)	63.8 years (2016)	63.8 years (2016)	Rapid Mortality Surveillance Report 2016
Impact Indicators	Impact Indicators	Life expectancy at birth: Male	60.0 years	Life expectancy of at least 61.5 years amongst Males by March 2019	60.3 (2015)	60.3 years (2015)	60.8 years (2016)	60.8 years (2016)	Rapid Mortality Surveillance Report 2016
Impact Indicators	Impact Indicators	Life expectancy at birth: Female	65.8 years	Life expectancy of at least 67 years amongst Females by March 2019	66.4 (2015)	66.4 years (2015)	66.9 years (2016)	66.9 years (2016)	Rapid Mortality Surveillance Report 2016
Impact Indicators	Impact Indicators	Under-5 Mortality Rate (U5MR)	39 under 5 deaths per 1 000 live-births	33 under 5 deaths per 1 000 live-births by March 2019 (25 percent decrease)	37 deaths per 1000 live births (2015)	37 deaths per 1000 live births (2015)	34 deaths per 1000 live births (2016)	34 deaths per 1 000 live births (2016)	Rapid Mortality Surveillance Report 2016
Impact Indicators	Impact Indicators	Neonatal Mortality Rate	14 per 1000 live births (2012)		12 deaths per 1000 live births (2015)	12 deaths per 1000 live births (2015)	12 deaths per 1000 live births (2016)	12 deaths per 1000 live births (2016)	Rapid Mortality Surveillance Report 2016
Impact Indicators	Impact Indicators	Infant Mortality Rate (IMR)	28 infant deaths per 1000 live births (25 percent decrease)		27 deaths per 1000 live births (2015)	27 deaths per 1000 live births (2015)	25 deaths per 1000 live births (2016)	25 deaths per 1000 live births (2016)	Rapid Mortality Surveillance Report 2016
Impact Indicators	Impact Indicators	Child under 5 years diarrhoea case fatality rate	4.2 percent (2012)				2.2 percent	1.8 percent	DHIS, 20/05/2018
Impact Indicators	Impact Indicators	Child under 5 years severe acute malnutrition case fatality rate	9 percent (2012)				4.7 percent	6.4 percent	DHIS, 20/05/2018
Impact Indicators	Impact Indicators	Maternal Mortality Ratio	269 per 100 000 live-births (2012)		154 deaths per 100 000 live births (2014)	154 deaths per 100 000 live births (2014)	152 deaths per 100 000 live births (2015)	152 deaths per 100 000 live births (2015)	Rapid Mortality Surveillance Report 2016
Impact Indicators	Impact Indicators	Live birth under 2 500g in facility rate	12.9 percent		13.8 percent	14.05 percent	14.2 percent	13.2 percent	April-August 2018 DHIS, 22/10/2018
Universal Health coverage progressively achieved through implementation of National Health Insurance	Phased implementation of the building blocks of NHI	National Health Insurance (NHI) Act Promulgated	None	Draft National Health Insurance Bill gazetted for public consultation by 2017/18	Final White Paper on NHI policy published in the Government Gazette on 30 June 2017	Draft NHI Bill submitted to Cabinet for approval to publish for public comment	Draft NHI Bill was presented to the FOSAD Cluster, which approved its submission to Cabinet	Draft NHI Bill submitted to Cabinet	

Sub-Outcome	Key Actions	Indicators	Baseline	Target (17/18)	Apr-June 2017	July-Sept 2017	Oct-Dec 2017	Jan-Mar 2018	Data Sources
Universal Health coverage progressively achieved through implementation of National Health Insurance	Phased implementation of the building blocks of NHI	NHI fund created	None	Funding Modality for the budget allocation to the public primary health care (PHC) facilities in the District Health system developed by 2017/18	The funding modality has been designed by National Treasury	The NDOH and National Treasury are finalising the mechanism for the NHI interim Fund which will be effective from the 1st of April 2018. MinComBud has approved the indicative allocations for NHI Interim fund for 2018/19. The Terms of Reference for the capitation model development for PHC have been finalised, and it will be advertised for tender before 30/11/2017	The NDOH and National Treasury are finalising the mechanism for the NHI interim Fund which will be effective from the 1st of April 2018. MinComBud has approved the indicative allocations for NHI Interim fund for 2018/19. The Terms of Reference for the capitation model development for PHC were finalised, and was advertised end of November 2017	NHI Indirect grant has been established, with a total allocation of R2 303 859 000. This grant has allocations for Health Facility Revitalisation; Non-Personalised services, CCMDD, Ideal Clinic, Development of Capitation Model, Information Systems, Personalised Services, HP Contracting, Mental Health services, School Health Services and other priority services. The Department of Health is waiting for National Treasury to finalise the process to allocate money from tax rebates currently given medical aids to NHI. NHI Indirect grant has been established, with a	
Universal Health coverage progressively achieved through implementation of National Health Insurance	Reform of Central Hospitals and increase their capacity for local decision making and accountability to facilitate semi-autonomy	Number of central hospitals with standardised organisational structures and appropriate delegations	None		The National Human Resources Coordinating Committee (NHRCC) met and Task Team was appointed to revise the proposed structure in line with resolution of the TechNHC committee and taking into consideration the inputs of CEO of central hospitals.	Consultative meetings held between DPSA and Department of Health on the revised organisation structure	Task Team met DPSA to discuss revision of the proposed structure. DPSA presented final draft to NHCC for final inputs	Organisational structure is in the process of being reviewed	

Sub-Outcome	Key Actions	Indicators	Baseline	Target (17/18)	Apr-June 2017	July-Sept 2017	Oct-Dec 2017	Jan-Mar 2018	Data Sources
Improved quality of health care	Establish an operational Office of Health Standards Compliance (OHSC)	Regulations for the functioning of the OHSC promulgated and implemented	OHSC Board established in January 2014 and OHSC operational	Finalise regulations for the functioning of the OHSC by March 2017	Procedural Regulations Pertaining to the Functioning of the Office of Health Standards Compliance and Handling of Complaints by the Ombud were promulgated on 2 November 2016. The Norms and Standard Regulations were published for public comment on 4 January 2017 and analysis of comments has been completed.	The Norms and Standard Regulations pertaining to all health establishments were first published for public comment. The document will be published for 30-day public comments during the third quarter.	The Norms and Standard Regulations pertaining to all health establishments were first published for public comment. The final regulations will be promulgated in the fourth quarter of 2017/18 financial year	The Norms and Standards Regulations Applicable to Different Categories of Health Establishments were presented to Minister. The Regulations were approved in January 2018 and thereafter promulgated on 2 February 2018. Implementation will only be one year after promulgation.	Government Gazette 40350, Notice 1275.
Improved quality of health care	Appointment of the Ombudsperson and establishment of a functional office .	Functional Ombuds Person Office established	Board of the OHSC established in January 2014	Functional Ombuds Person office established by March 2017	Appointment was made in May 2016. Date of commencement of duty was 1 June 2016.	Appointment was made in May 2016. Date of commencement of duty was 1 June 2016. The Ombuds Person has been investigating complaints and reports in this regard have been produced.	Appointment was made in May 2016. Date of commencement of duty was 1 June 2016. The Ombuds Person has been investigating complaints and reports in this regard have been produced.	Appointment was made in May 2016. Date of commencement of duty was 1 June 2016. The Ombuds Person has been investigating complaints and reports in this regard have been produced.	
Improved quality of health care	Improve compliance with National Core Standards	Number of Regional, Specialised, Tertiary and Central Hospitals that achieved an overall performance of ≥ 75 percent compliance with the national core standards for health facilities	Non-compliance with extreme and vital measures of the National Core Standards	≥ 75 percent compliance with National Core Standards in 5 Central Hospitals by 2016/17	In 2016/17, a total of 18 hospitals (3 central, 8 tertiary and 7 regional) achieved an overall performance of > 75 percent compliance with the national core standards for health facilities.	Rob Ferreira hospital was supported and achieved 82 percent. Ermelo hospital also achieved 81 percent. Provincial support plan was approved. Provincial quarterly reporting tool developed. The draft CEOs tool kit was also presented at NHRCC.	13 hospitals (2 central hospitals, 2 tertiary hospital and 9 regional hospitals) obtained >75 percent compliance score with the national core standards	37 hospitals (8 central hospitals, 15 tertiary hospital and 14 regional hospitals) obtained >75 percent compliance score with the national core standards	Peer review reports

Sub-Outcome	Key Actions	Indicators	Baseline	Target (17/18)	Apr-June 2017	July-Sept 2017	Oct-Dec 2017	Jan-Mar 2018	Data Sources
Improved quality of health care	Improve the acceptability, quality and safety of health services by increasing user and community feedback and involvement	Patient satisfaction surveys rate (proportion of health facilities that conduct patient satisfaction surveys at least once a year)	65 percent					National PEC surveys conducted in sampled PHC facilities and hospitals. Workshops for (9) provincial health departments conducted on national PEC survey guideline in the third quarter	PEC Survey Reports
Improved quality of health care	Improve the acceptability, quality and safety of health services by increasing user and community feedback and involvement	Patient satisfaction rate	New Indicator	50 percent of health facilities that conducted PEC survey and scored 85 per more by 2019. Nationally 85 percent of patients are satisfied with health services received in public health facilities by 2019	The Patient Experience of Care Survey conducted by the Health Systems at Primary Health Care facilities was completed in a sample of 168 clinics and community health centres, with a total of 7 124 respondents (patients); and a preliminary report has been prepared	The PHC facility PEC survey conducted in 168 selected facilities; the results showed that 76.5 percent of the interviewed clients reported a positive experience of care and 74.8 percent were satisfied with the services received in the facility	Preliminary results of PEC Survey conducted in 169 PHC facilities in all provinces and PEC survey conducted in 19 hospitals in 4 provinces were presented to Tech NHC	National PEC surveys completed and reports produced	PEC Survey Reports
Improved quality of health care	Improve quality of District Hospitals	Status determination elements for District Hospitals	None	Ideal District Hospitals status determination elements developed by 2018	Working team established with Terms of Reference to determine Ideal District Hospital elements	Working group to develop the draft framework for Ideal District hospitals was established. The draft framework will be developed in third quarter	A working group was established with Terms of Reference; Draft Framework for Ideal District hospitals was presented to the National District Health System Committee (NDHMSC)	Draft of the Framework for Ideal District hospital presented to National District Health System Committee	
Improved quality of health care	Ensure quality primary health care services with functional	Number of primary health care clinics in the 52 districts that qualify as ideal clinics	None	1 000 primary health care facilities in the 52 districts qualify as Ideal Clinics	1 037 primary health Care facilities in the 52 districts qualify as Ideal Clinics	1 157 primary health Care facilities in the 52 districts qualify as Ideal Clinics	1 227 primary health Care facilities in the 52 districts qualify as Ideal Clinics	1 507 primary health Care facilities in the 52 districts qualify as Ideal Clinics	Ideal Clinic progress report

Sub-Outcome	Key Actions	Indicators	Baseline	Target (17/18)	Apr-June 2017	July-Sept 2017	Oct-Dec 2017	Jan-Mar 2018	Data Sources
Improved quality of health care	Improve the acceptability ,quality and safety of health services by increasing user and community feedback and involvement	Patient experience of care (PEC) survey rate	65 percent	75 percent of health facilities that conduct PEC surveys at least once a year by 2017/18	The National Health Council also approved the National Guidelines on PEC survey which will guide the conduct of PEC at facility level		4 workshops for nine provinces conducted on the National PEC Survey guideline and workshop report compiled	National PEC surveys conducted in sampled PHC facilities and hospitals. Workshops for (9) provincial health departments conducted on national PEC survey guideline in the third quarter	PEC Survey workshop Report
Implement the re-engineering of Primary Health Care	Expand coverage of war-based primary health care outreach teams	Number of functional WBPHCOTs	1 063 functional WBPHCOTs	2 000 functional WBPHCOT	3519 functional WBPHCOTs	3519 functional WBPHCOTs	3519 functional WBPHCOTs	3 323 functional WBPHCOTs	April-August 2018 DHIS, 22/10/2018
Implement the re-engineering of Primary Health Care	Expansion and strengthening of integrated school health services	School Grade 1 screening coverage (annualised).	7 percent		80 983 (34.6 percent)	44 512 (22.7 percent)	86 712 (44.3 percent)	65 321 (22.2 percent)	April-August 2018 DHIS, 22/10/2018
Implement the re-engineering of Primary Health Care	Expansion and strengthening of integrated school health services	School Grade 8 screening coverage (annualised)	4 percent		41 272 (23.1 percent)	26 993 (17.9 percent)	29 678 (19.6 percent)	40 314 (17.8 percent)	April-August 2018 DHIS, 22/10/2018
Implement the re-engineering of Primary Health Care	Ensure quality primary health care services with optimally functional clinics by developing all clinics into Ideal Clinics	Number of primary health care clinics in the 52 districts that qualify as Ideal Clinics		1 000 primary health care facilities in the 52 districts qualify as Ideal Clinics	1 037 primary health Care facilities in the 52 districts qualify as Ideal Clinics	1 157 primary health Care facilities in the 52 districts qualify as Ideal Clinics		1 507 primary health Care facilities in the 52 districts qualify as Ideal Clinics	Ideal Clinic progress report
Implement the re-engineering of Primary Health Care	3.Improve intersectoral collaboration with a focus on population wide interventions (to promote healthy lifestyles in the whole population)and community based interventions (to promote healthy lifestyles in communities) and addressing social and economic	Establish the national Health Commission	None		National Health Commission will be established as part of NHI Implementation Institutions, Bodies and Commissions.	Establishment of a National Health Commission adopted by Cabinet as part of NHI White Paper. Request for nominations advert to gazetted Institutions, Bodies and Commissions was published on 18 August 2017 with a closing date of 31st of August 2017. Review of nominations is currently underway	Nominations for members to sit on the National Health Commission advertised	Framework for National Health Commission approved	

Sub-Outcome	Key Actions	Indicators	Baseline	Target (17/18)	Apr-June 2017	July-Sept 2017	Oct-Dec 2017	Jan-Mar 2018	Data Sources
Implement the re-engineering of Primary Health Care	Improve awareness of and management of NCDs through screening and counselling for high blood pressure and raised blood glucose levels	Number of people counselled and screened for high blood pressure	(New Indicator)		3,894,077	2,794,536	13 246 961(2015); 31 199 856 (2016); 2 690 969 (Q3 2017/18)	13 246 961(2015); 31 199 856 (2016); 16 016 010 (Q4 2017/18)	April-August 2018 DHIS, 22/10/2018
Implement the re-engineering of Primary Health Care	Improve awareness of and management of NCDs through screening and counselling for high blood pressure and raised blood glucose levels	Number of people counselled and screened for raised blood glucose levels	(New Indicator)		3 370 587	2,527,299	8 087 470 (2015); 24 289 860 (2016); 2 528 521 (Q3 2017/18)	8 087 470 (2015); 24 289 860 (2016); 14 610 276 (Q4 2017/18)	April-August 2018 DHIS, 22/10/2018
Implement the re-engineering of Primary Health Care	Expand provision of rehabilitation services to people with physical disabilities	Proportion of health facilities accessible to people with disabilities	25 percent (1384 PHC health facilities)	70 percent (of 2 823) of PHC health facilities are accessible to people with physical disabilities and are meeting the 4 compulsory criteria (ramp, compacted access from gate to entrance, Toilets, signage) of accessibility by 2019	32 percent of PHC facilities accessible to people with physical disabilities	33 percent of PHC facilities accessible to people with physical disabilities	34 percent of PHC facilities accessible to people with physical disabilities	36 percent of PHC facilities accessible to people with physical disabilities	Quarterly Reporting System
Implement the re-engineering of Primary Health Care	Expand provision of rehabilitation services to people with physical disabilities	Number of Districts with a multi-disciplinary rehabilitation team (physiotherapist ,optometrist ,speech and hearing /audiologist ,occupational therapist, medical orthotist/prosthetist)	unknown		Draft survey tool developed	Survey tool was workshopped and inputs received from some provinces following explanation of the tool and its functions		Provinces submitted reports of survey results conducted in districts with a multi-disciplinary rehabilitation teams	Facility accessibility report

Sub-Outcome	Key Actions	Indicators	Baseline	Target (17/18)	Apr-June 2017	July-Sept 2017	Oct-Dec 2017	Jan-Mar 2018	Data Sources
Implement the re-engineering of Primary Health Care	Screening the users of public primary health care (PHC) services for mental health disorders	Number of people using public PHC services screened for mental health disorders annually	1.8 million		6 570 223	5 149 071		2 250 461 (2015) 14 440 621 (2016) 31 490 883	April-August 2018 DHIS, 22/10/2018
Implement the re-engineering of Primary Health Care	Contribute to a comprehensive and intersectoral response by government to violence and injury, and to ensure action	Eliminate backlog of blood alcohol tests at Forensic Chemistry Laboratories	Backlog of blood alcohol tests eliminated (0 percent backlog) Pretoria and Johannesburg laboratories by 2018	Backlog of blood alcohol testing eliminated (0 backlog) Pretoria and Johannesburg laboratories by 2018	30.5 percent (8 299 of 27 193 samples on baseline backlog list have been eliminated)	76.6 percent		78 percent of the backlog eliminated	Quarterly Reporting System: Blood Alcohol reports issued and Blood Alcohol report Register and LIMS
Implement the re-engineering of Primary Health Care	Contribute to a comprehensive and intersectoral response by government to violence and injury, and to ensure action	Roadside testing programme implemented to monitor driving under the influence of alcohol	None	Mobile laboratories established and roadside testing programme implemented by March 2018 to significantly reduce the country's injury and death rate	Pilot testing study of the breathalyser is still ongoing in the province of Western Cape.	The Criminal Justice Review Committee recommended that the department wait for the results of the Breathalyser pilot project that is being implemented in the province of Western Cape before mobile roadside testing programme can be considered for implementation. Costs implications of mobile roadside testing programme have been estimated		Following the RTMC Task Team meeting of the 30 January 2018, the decision has been made at the Ministerial level that there will be no need for an MOU on the roadside testing programme due to feasibility and costs reasons. A recommendation has been made that a national roll-out of Evidentiary Breath Alcohol Testing (EBAT) to be started as a pilot project in all provinces. Training of operators in certain places has been completed	
Improved quality of health care	Establish a National Health Pricing Commission to regulate health care in the private sector	National Health Pricing Commission established						Framework for National Health Commission approved	

Sub-Outcome	Key Actions	Indicators	Baseline	Target (17/18)	Apr-June 2017	July-Sept 2017	Oct-Dec 2017	Jan-Mar 2018	Data Sources
Improved quality of health care	Regulations of the price on medicines through the transparent pricing system	Regulations relating to the single exit price increase ,dispensing fees published.	Transparent pricing regulations promulgated in 2004	Regulations relating to the single exit price increase, dispensing fees published for public comment by 2018	Draft SEPA 2017/2018 gazette development completed	Draft SEPA gazette published for comment		Final SEPA Gazette published for implementation	Government Gazette
Improved quality of health care	Reform of the procurement system for medicines in the public sector	Changes in tender price managed to not exceed inflation and currency variance	Previous tender price		2 Tenders were finalised, but one contract awarded. Inflation & currency variance benchmarks were not exceeded for new prices. For the one tender awarded, negotiation of prices resulted in savings of R5.6million.	2 Tenders were finalised, but one contract awarded; Inflation & currency variance benchmarks were not exceeded for new prices. For the one tender awarded, negotiation of prices resulted in savings of R5.6million.		2 Tenders were finalised, but one contract awarded. Inflation and currency variance benchmarks were not exceeded for new prices. For the one tender awarded, negotiation of prices resulted in savings of R5.6million.	
Reduced health care costs	Increase production of Human Resources for Health to strengthen capacity in the health system	Percentage of Cuban trained doctors employed in the public sector	2 971 medical students enrolled into the RSA - Cuba Programme.Prp yeaar:419, 1st Year: 609 ,2nd year: 883,3rd Year: 919,4th Year:73, 5th Yeaar:68		In total, there are 591 medical doctors who completed through the Nelson Mandela Fidel Castro Medical Training Programme. Of these, 71 medical doctors graduated on 14 July 2017 at the University of KwaZulu-Natal. A total of 91 medical students are also doing final clinical training and a total 76 (5th year) students returned from Cuba in July 2017 to commence with the six months orientation programme in various medical schools in South Africa. A total 2 799 medical students are in Cuba.	In total, there are 591 medical doctors who completed through the Nelson Mandela Fidel Castro Medical Training Programme. Of these, 71 medical doctors graduated on 14 July 2017 at the University of KwaZulu-Natal. A total of 91 medical students are also doing final clinical training and a total 76 (5th year) students returned from Cuba in July 2017 to commence with the six months orientation programme in various medical schools in South Africa. A total 2799 medical students are in Cuba.	As reported for the second quarter, in total there are 591 medical doctors who completed through the Nelson Mandela Fidel Castro Medical Training Programme. Of these, 71 medical doctors graduated on 14 July 2017 at the University of KwaZulu-Natal. A total of 91 medical students are also doing final clinical training and a total 76 (5th year) students returned from Cuba in July 2017 to commence with the six months orientation programme in various medical schools in South Africa. During May 2018, there was 2 666 medical students in Cuba.	As reported for the second quarter, in total there are 591 medical doctors who completed through the Nelson Mandela Fidel Castro Medical Training Programme. Of these, 71 medical doctors graduated on 14 July 2017 at the University of KwaZulu-Natal. A total of 91 medical students are also doing final clinical training and a total 76 (5th year) students returned from Cuba in July 2017 to commence with the six months orientation programme in various medical schools in South Africa. During May 2018, there was 2 666 medical students in Cuba.	

Sub-Outcome	Key Actions	Indicators	Baseline	Target (17/18)	Apr-June 2017	July-Sept 2017	Oct-Dec 2017	Jan-Mar 2018	Data Sources
Reduced health care costs	Increase production of Human Resources for Health to strengthen capacity in the health system	Number of nursing colleges accredited to offer the new nursing curriculum	None		New basic nursing qualification programmes was circulated for consultation to Nursing Colleges	Template for nursing colleges to develop their college specific curricula produced	Eight nursing colleges supported to develop their college specific curricula	New basic nursing qualification programmes finalised, and 8 colleges have customized draft curricula	
Improved health management and leadership	Improve financial management skills and audit outcomes for the health sector	Number of health Departments receiving unqualified audit reports from the Auditor-General of South Africa (AGSA)	4 Health Departments in 2012/13 (National DoH; Limpopo, North West and Western Cape)	5 Health departments (1 National and 4 Provincial Dots receiving unqualified audit reports from the Auditor-General of south Africa (AGSA) by 2017/18	5 Departments (1 National and 4 Provincial DoHs) receiving unqualified audit reports from the Auditor-General of South Africa (AGSA) for 2016/17 financial year	Unqualified audit opinion for 2016/17 for NDoH, Gauteng, Eastern Cape Western Cape and Free State	Not applicable, audit outcomes will be released in May 2018	Not applicable, audit outcomes from 2017/18 will available in July/August 2018	
Improved health management and leadership	Improve Health District governance and strengthen management and leadership of the District Health System	Number of primary health care facilities with functional clinic committees/ district hospital boards	2256 primary health care facilities with functional clinic committees/ district hospital boards						
Improved health management and leadership	Improve District Health governance and strengthen management and leadership of the District Health System	Number of districts with Normative management structures	None	Normative district management structure developed and approved by 2017	Draft guidelines were presented to NDHSC and TechNHC for approval	The revised draft guidelines will be presented to TechNHC for approval in November 2017	The draft guidelines were presented to TechNHC and approval granted	Guidelines approved by Tech NHC	Approval by Tech NHC of Guidelines for the Establishment of DHMO structure

Sub-Outcome	Key Actions	Indicators	Baseline	Target (17/18)	Apr-June 2017	July-Sept 2017	Oct-Dec 2017	Jan-Mar 2018	Data Sources
Improved health facility planning and infrastructure delivery	Improve the quality of health infrastructure in South Africa by ensuring that all health facilities are compliant with facility norms and standards	Percentage of facilities that comply with gazetted infrastructure Norms and Standards	None	Health facility norms and standards developed and gazetted by March 2015	65 facilities (accumulative)	75 facilities (cumulative)	75 facilities (cumulative)	195 facilities (cumulative) including doctors consulting rooms	PMIS
Improved health facility planning and infrastructure delivery	Construction of new clinics, community health centres and hospitals	Number of additional clinics and community health centres (CHC) constructed	-	106 clinics and community health centres constructed by 2019	79 clinics and community health centres (accumulative from 2014/15)	81 clinics and community health centres (cumulative from 2014/15)	99 clinics and community health centres (cumulative from 2014/15)	98 clinics and community health centres constructed from 2015 to date. 91 clinics and CHC are currently at the various stages of procurements and construction.	PMIS
Improved health facility planning and infrastructure delivery	Construction of new clinics, community health centres and hospitals	Number of additional hospitals constructed or revitalised	-		12 hospitals (accumulative from 2014/15)	12 hospitals (cumulative from 2014/15)	12 hospitals (cumulative from 2014/15)	5 hospitals constructed between 2015 to date. One of these hospitals was completed in 2017/18. 17 hospitals are currently at various stages of planning and construction.	PMIS
Improved health facility planning and infrastructure delivery	Major and minor refurbishment of health facilities	Number of health facilities that have undergone major and minor refurbishment	95 health facilities		442 (since 2014/15)	442 (since 2014/15)	442 (since 2014/15)	751 (since 2015/16)	PMIS Quarterly Progress Report : Practical Completion Certificates
HIV & AIDS and Tuberculosis prevented and successfully and successfully managed	Maximising opportunities for testing and screening to ensure that everyone in South Africa has an opportunity to test for HIV and to be screened for TB at least annually	Number of clients tested for HIV annually	8.9 million (2012/13)		3 278 864	2 362 652 (all tests: age groups 15-59 months, 5 – 14 years and above, first and repeat antenatal tests)		10 328 394 (2014); 12 455 635 (2015); 14 229 769 (2016); 13 872 315 (Apr 2017–March 2018); 3 568 281 (all tests: age groups 15-59 months, 5 – 14 years and above, first and repeat antenatal tests)	April-August 2018 DHIS, 22/10/2018

Sub-Outcome	Key Actions	Indicators	Baseline	Target (17/18)	Apr-June 2017	July-Sept 2017	Oct-Dec 2017	Jan-Mar 2018	Data Sources
HIV & AIDS and Tuberculosis prevented and successfully and successfully managed	Maximising opportunities for testing and screening to ensure that everyone in South Africa has an opportunity to test for HIV and to be screened for TB at least annually	Number of people screened for TB annually	8 million (in 2011)		15 995 220	32 462 038	10 217 891 (2014) 36 680 161 (2015) 61 091 659 (2016) 18 776 066 (Q3 of 2017/18)	10 217 891 (2014) 36 680 161 (2015) 61 091 659 (2016) 70 024 234 (2017)	Provincial Progress reports
HIV & AIDS and Tuberculosis prevented and successfully and successfully managed	Maximising opportunities for testing and screening to ensure that everyone in South Africa's Correctional Facilities is screened for TB at least annually	Percentage of correctional services centres conducting routine TB screening	23 percent (56/242)	95 percent (230/242) of correctional services centres conducting routine TB screening by 2019	97.9 percent [237 of 242 correctional services. Five (5) facilities are closed for renovations]	100 percent	98 percent (240/242) 2 facilities are closed	98 percent (238/242)	SSRs reports
HIV & AIDS and Tuberculosis prevented and successfully and successfully managed	The National HIV prevention Campaign for Girls and Young Women implemented to among others focus on new HIV infections and unwanted pregnancies	Delivery under 18 years in-facility rate	7.5 percent (72 200 of 961 200) for 2013		10.6 percent (delivery in 10 to 19 years in facility rate)	13.7 percent (delivery in 10 to 19 years in facility rate)	12.6* percent	12.9 percent; delivery in 10 to 19 years in facility rate	delivery in 10 to 19 years in facility rate. April-August 2018; DHIS, 22/10/2018
HIV & AIDS and Tuberculosis prevented and successfully and successfully managed	Increasing access to a preventive package of sexual and reproductive health (SRH) services, including medical male circumcision and provision of both male and female condoms	Number of male condoms distributed annually	387 million (in 2012/13)		113 455 664	88 955 135	646 255 615 (2014) 847 320 122 (2015) 879 827 150 (2016) 395 300 309 (April-Nov 2017) 95 685 712	646 255 615 (2014); 847 320 122 (2015); 879 827 150 (2016); 694 406 929 (Apr 2017-Mar 2018); National: 191 770 326	April-August 2018 DHIS, 22/10/2018
HIV & AIDS and Tuberculosis prevented and successfully and successfully managed	Increasing access to a preventive package of sexual and reproductive health (SRH) services, including medical male circumcision and provision of both male and female condoms	Number of female condoms distributed annually	5.1 million (2010/11)	25 million female condoms distributed annually by March 2019	3 431 940	4 040 291	19157 702 (2014) 26076 639 (2015) 26459 796 (2016) 14 492 447 (April – Nov 2017) 3 774 766	19157 702 (2014); 26076 639 (2015); 26459 796 (2016); 21 424 412 (Apr 2017 – March 2018); National 4 565 191	April-August 2018 DHIS, 22/10/2018

Sub-Outcome	Key Actions	Indicators	Baseline	Target (17/18)	Apr-June 2017	July-Sept 2017	Oct-Dec 2017	Jan-Mar 2018	Data Sources
HIV & AIDS and Tuberculosis prevented and successfully and successfully managed	Increasing access to a preventive package of sexual and reproductive health (SRH) services, including medical male circumcision and provision of both male and female condoms	Number of men medically circumcised	804 285 (2012/13)		186 993 including private and traditional	189 854	451 649 (2014) 431 301 (2015) 312 152 (2016) 430 616 (April-Nov 2017) 45 654	451 649 (2014) 431 301 (2015) 312 152 (2016) 539 892 (Apr 2017-March 2018) 87 330	April-August 2018 DHIS, 22/10/2018
HIV & AIDS and Tuberculosis prevented and successfully and successfully managed	Expand access to Antiretroviral Therapy (ART) for people living with HIV/AIDS	Total clients remaining on ART (TROA)	2.7 million		3 864 811	3 955 185	4 000 562		April-August 2018 DHIS, 22/10/2018
HIV & AIDS and Tuberculosis prevented and successfully and successfully managed	Improve the effectiveness and efficiency of the TB control programme	TB new client treatment success rate	79 percent	85 percent of new TB clients successfully completing treatment by 2019	85.5 percent	86.1 percent	81.0 percent		Electronic TB Register
HIV & AIDS and Tuberculosis prevented and successfully and successfully managed	Improve treatment outcomes	TB new smear positive client lost to follow-up rate (formerly known as new pulmonary treatment defaulter rate)	6 percent		6.3 percent	6.1 percent	7.0 percent		Electronic TB Register 8)
HIV & AIDS and Tuberculosis prevented and successfully and successfully managed	Implement interventions to reduce TB mortality	TB new smear positive Death Rate	6 percent		4.1 percent	45 percent	6.0 percent		Electronic TB Register
HIV & AIDS and Tuberculosis prevented and successfully and successfully managed	Combat MDR TB by ensuring access to treatment	TB MDR confirmed clients start on treatment	56 percent		79.4 percent	62.9 percent	58.1 percent	76.0 percent	Electronic TB Register

Sub-Outcome	Key Actions	Indicators	Baseline	Target (17/18)	Apr-June 2017	July-Sept 2017	Oct-Dec 2017	Jan-Mar 2018	Data Sources
HIV & AIDS and Tuberculosis prevented and successfully and successfully managed	Combat MDR TB by ensuring access to treatment	MDR-TB Client successfully completing treatment	42 percent	65 percent of MDR-TB patients successfully completing treatment by 2019	48.6 percent	54.3 percent	52.3 percent	53.7 percent	EDR Web
Maternal, infant and child mortality reduced	Improve the implementation of Basic Antenatal and Postnatal Care	Antenatal visits before 20 weeks rate	50.6 percent		64.5 percent	66.7 percent	66.9 percent	67.1 percent	April-August 2018 DHIS, 22/10/2018
Maternal, infant and child mortality reduced	Improve the implementation of Basic Antenatal and Postnatal Care	Proportion of mothers visited within 6 days of delivery of their babies	74.8 percent		66.0 percent	68.2 percent	75.0 percent	73.4 percent	April-August 2018 DHIS, 22/10/2018
Maternal, infant and child mortality reduced	Expand the PMTCT coverage to pregnant woman	Antenatal client initiated on ART rate	90 percent		85.5 percent	85.5 percent	94.0 percent	95.5 percent	April-August 2018 DHIS, 22/10/2018
Maternal, infant and child mortality reduced	2.Expand the PMTCT coverage to pregnant woman	Infant 1st Polymerase Chain Reaction (PCR) test positive around 10 week rate	2.5 percent		1.1 percent	0.8 percent	1.2 percent	0.95 percent	April-August 2018 DHIS, 22/10/2018
Maternal, infant and child mortality reduced	Protection of children against vaccine preventable diseases	Immunisation coverage under 1 year (annualised)	94 percent		67 percent	79.5 percent	National 80.6 percent	83.9 percent	April-August 2018 DHIS, 22/10/2018
Maternal, infant and child mortality reduced	Protection of children against vaccine preventable diseases	DTaP-IPV-HepB-Hib3 - Measles 1st dose drop-out rate . 3rd dose and measles 1st dose by 2019	8 percent		11.7 percent	-4.9 percent	1.0 percent	-2.9 percent	April-August 2018 DHIS, 22/10/2018
Maternal, infant and child mortality reduced	Protection of children against vaccine preventable diseases	Measles 2nd dose coverage	77 percent (2012/13)		78.6 percent	81.1 percent	74.7 percent	77.9 percent	April-August 2018 DHIS, 22/10/2018
Maternal, infant and child mortality reduced	Protection of children against vaccine preventable diseases	Confirmed measles case incidence per million total population	<5 per 1 000 000		0.31/1 000 000 population	5.58/1 000 000 population	3.90/1 000 000 population	1.45/1 000 000 population	Measles database
Maternal, infant and child mortality reduced	Reduce fatality caused by leading causes of death	Child under 5 years diarrhoea case fatality rate	4.2 percent		2.5 percent	2.2 percent	2.2 percent	1.8 percent	April-August 2018 DHIS, 22/10/2018

Sub-Outcome	Key Actions	Indicators	Baseline	Target (17/18)	Apr-June 2017	July-Sept 2017	Oct-Dec 2017	Jan-Mar 2018	Data Sources
Maternal, infant and child mortality reduced	Reduce fatality caused by leading causes of death	Child under 5 years severe pneumonia case fatality rate	3.8 percent		2.3 percent	3 percent	2.1 percent	2.1 percent	April-August 2018 DHIS, 22/10/2018
Maternal, infant and child mortality reduced	Reduce fatality caused by leading causes of death	Child under 5 years severe acute malnutrition case fatality rate	9 percent		8.0 percent		4.7 percent	6.4 percent	April-August 2018 DHIS, 22/10/2018
Maternal, infant and child mortality reduced	Improve nutrition levels among infants	Infant exclusively breastfed at DTP-IPV-Hib-HBV 3rd dose rate	45 percent (2014/15)		47.3 percent	47.3 percent	48.6 percent	48.8 percent	April-August 2018 DHIS, 22/10/2018
Maternal, infant and child mortality reduced	Expand access to sexual and reproductive health by expanding availability of contraceptives and access to cervical and HPV cancer screening services	Couple year protection rate	36 percent		45.3 percent	51.7 percent	54.0 percent	64.2 percent	April-August 2018 DHIS, 22/10/2018
Maternal, infant and child mortality reduced	Expand access to sexual and reproductive health by expanding availability of contraceptives and access to cervical and HPV cancer screening services	Cervical cancer screening Coverage	55 percent		56.9 percent	59.2 percent	67.1 percent	65.6 percent	April-August 2018 DHIS, 22/10/2018
Maternal, infant and child mortality reduced	Expand access to sexual and reproductive health by expanding availability of contraceptives and access to cervical and HPV cancer screening services	Human Papilloma Virus (HPV) Vaccine 1st dose coverage (HPV Vaccine Coverage amongst 9 and 10 year old girls)	None(New Indicator)		70.5 percent	73.6 percent (417 149)	81.9 percent (370 695)	63.6 percent (135 242)	April-August 2018 DHIS, 22/10/2018
Efficient Health Management Information System developed and implemented for improved decision making	Develop a complete System design for a National Integrated Patient based information system	System design for a National Integrated Patient based information system completed	Health Normative Standards Framework for eHealth produced and gazetted in terms of the National Health act (61 of 2003) in 2014		System design for a National Patient based information system commenced in 2013. It has been expanded to 1 967 facilities (accumulative) to improve patient administration systems.	System design for a National Patient based information system commenced in 2013. CSIR is currently developing the interoperability architecture to allow sharing of data across system. Health Patient Registration System has been expanded to 2071 facilities	A draft document on interoperability architecture for digital health in South Africa has been developed. The document is currently for consultation and discussion with the executive management		National Integrated Patient Based Information System Progress report

G. Department of Health: Quarterly Performance on Annual Performance Plan (Data used in appendix E)

Programme / Sub-Programme / Performance Indicators	2016/17 Annual Target as per Annual Performance Plan (APP)	Quarter 3 Target as per APP	Quarter 3 Output – Validated	Quarter 4 Progress	
				Quarter 4 Target as per APP	Quarter 4 Output – Preliminary
Programme 1: Administration					
Audit opinion from Auditor General	Unqualified Audit opinion	-	Financial Improvement Plans implemented to address emphasis of matters and audit findings for 2015/16 financial year	-	The Department implemented Financial Improvement plans to address emphasis of matters and in-house findings
Number of Provincial DoH that demonstrate improvements in Audit Outcomes or Opinions	4%	-	All 9 provincial DoHs submitted in the 2nd quarter their financial improvement plans to address audit findings of 2015/16 financial year	-	All 9 Provincial DoHs have submitted financial improvement plans to address findings
Average Turnaround times for recruitment processes	6 months	-	Not Applicable	6 Months	5.2 months
%of Employees accessing the Health and wellness programmes	30% of 1962 employees	24% of 1993 employees (cumulative)	78.9% of 1993 (cumulative)	30% of 1993 employees (cumulative)	95.8 % (1910) of 1993 (cumulative)
Departmental Business Continuity Plan (BCP) developed	Phase 1 of the BCP developed and disseminated	Prioritise the identified business processes, data, applications and hardware technology in terms of criticality to the operations of targeted functional areas.	Phase 2: Prioritization, Development and Incorporation of identified business processes was underway	Finalise Phase 1 of the BCP and detailed implementation plan covering the identified functional areas developed.	The fourth quarter target has been incorporated to the new project approach with BCP activities as part of new Phases 2 and 3 . Phase 2: (i) Vulnerability Study for Civitas building was completed; (ii) critical business processes were identified; (iii) develop BCP strategies: the BIA report is 90% complete. Phase 3: (i) establish alternate facility for BCP: the task is 70% complete, (ii) BCP plan development is 30% complete.

Programme / Sub-Programme / Performance Indicators	2016/17 Annual Target as per Annual Performance Plan (APP)	Quarter 3 Target as per APP	Quarter 3 Output – Validated	Quarter 4 Progress	
				Quarter 4 Target as per APP	Quarter 4 Output – Preliminary
Programme 1: Administration					
Departmental Business Continuity Plan (BCP) developed'	Phase 1 of the BCP developed and disseminated	Business processes developed and systems identified for Finance, SCM, MCC, MBOD/ CCOD, Port Health and Pharmaceutical clusters	Phase 2: Prioritization, Development and Incorporation of identified business processes was underway	Communicate the BCP to Management Committee of National DoH	As part of the new project approach , the BCP Policy was approved and has been communicated to Management Committee of the National DoH.
Departmental Business Continuity Plan (BCP) developed'	Phase 1 of the BCP developed and disseminated	Update the current ICT Service Continuity Plan to incorporate identified business process and applications	Phase 2: Prioritization, Development and Incorporation of identified business processes was underway	-	N/A
Number of communication interventions implemented	52 communication interventions implemented	13 communication interventions implemented	24 communication interventions implemented	13 communication interventions implemented	36 communication interventions implemented
NDoH Vacancy Rate	<10 %	-	Not Applicable	< 10%	3.2%
% of Senior Managers that have entered into Performance agreements with their	98%	-	Not Applicable	-	97% (first quarter)

Programme / Sub-Programme / Performance Indicators	2016/17 Annual Target as per Annual Performance Plan (APP)	Quarter 3 Target as per APP	Quarter 3 Output – Validated	Quarter 4 Progress	
				Quarter 4 Target as per APP	Quarter 4 Output – Preliminary
Programme 2: National Health Insurance, Health Planning and Systems Enablement					
White Paper on NHI	Review public comments and revise and publish final White Paper on NHI	Public comments on NHI White paper reviewed	Comments reviewed and report compiled. White Paper ready for submission to Cabinet	White Paper on NHI gazetted as policy document.	White Paper on NHI prepared for submission to Cabinet for consideration. The Technical Working Group of the SPCHD Cluster of FOSAD proceessed the White Paper and deemed it ready to be tabled at FOSAD
Legislation for NHI	NHI Bill drafted	-	Not Applicable	-	NHI Bill has been drafted but awaiting the completion of the White Paper process
Establishment of the National Health Insurance Fund	Funding Modality for the National Health Insurance Fund including budget reallocation for the district primary health care updated	-	Preparatory work underway for NHI Fund	-	Draft document on Funding Modality for the National Health Insurance Fund is awaiting the completion of the White Paper process
Number of hospitals Implementing an Electronic Stock Management System (ESMS) for the detection of stock outs of medicines	ESMS implemented at 10 central hospitals, 17 tertiary hospitals, 50 district hospitals and 46 regional hospitals.	ESMS implemented 10 central hospitals, 17 Tertiary hospitals at 35 district hospitals and 41 regional hospitals. (cumulative) Site assessments done for 15 district hospitals and 5 regional hospitals	ESMS implemented 10 central hospitals, 17 Tertiary hospitals at 50 district hospitals and 46 regional hospitals (cumulative). Site assessments done for 15 district hospitals and 5 regional hospitals	ESMS implemented at 10 central hospitals, 17 tertiary hospitals, 50 district hospitals and 46 regional hospitals. (cumulative)	ESMS implemented at 10 central hospitals, 17 tertiary hospitals, 50 district hospitals and 46 regional hospitals.

Programme / Sub-Programme / Performance Indicators	2016/17 Annual Target as per Annual Performance Plan (APP)	Quarter 3 Target as per APP	Quarter 3 Output – Validated	Quarter 4 Progress	
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Number of PHC Facilities implementing an electronic system for the early detection of stock outs of medicines	1800 PHC facilities (additional 600).	Electronic system for the detection of stock outs functional in 1650 PHC clinics (additional 150 clinics)..	3121 PHC clinics	Electronic system for the detection of stock outs functional in 1800 PHC clinics (additional 150 clinics).	3121
Number of facilities reporting stock availability at national surveillance centre to monitor medicine availability	10 central hospitals, 17 tertiary hospitals, 50 district hospitals, 46 regional hospitals and 1800 PHC clinics	National surveillance centre functional and reporting stock availability for 10 central hospitals, 17 tertiary hospitals at 35 district hospitals and 41 regional hospitals and 1650 PHC	National surveillance centre functional and reporting stock availability for 10 central hospitals, 17 tertiary hospitals at 35 district hospitals and 41 regional hospitals and 3121 PHC clinics.	National surveillance centre functional and reporting stock availability for 10 central hospitals, 17 tertiary hospitals, 50 district hospitals, 46 regional hospitals and 1800 PHC clinics.	National surveillance centre functional and reporting stock 3121 PHC clinics.
Number of Provincial Medicine Procurement Unit (PMPU) for the management of direct delivery of medicines established	2 PMPUs established (North- West and KZN DoH).	PMPU in KZN functional. Project plan for the rollout of PMPU developed for North-West	PMPU in KZN functional. Project plan for the rollout of PMPU developed for North-West.	PMPU in KZN functional. PMPU in North-West functional.	2; PMPU in KZN and North-West are functional
Number of patients receiving medicines through the centralised chronic medicine	650,000 patients	625 000 patients	948 335 patients	650 000 patients	1 252 000
Percentage of pharmaceutical Contracts awarded at least 8 weeks prior to expiration of outgoing contract	100% pharmaceutical tenders awarded at least 8 weeks prior to expiration of outgoing contract	100% pharmaceutical tenders awarded at least 8 weeks prior to expiration of outgoing contract	1 contract (100%), that was due for award in the fourth quarter for activation 01 March 2017, was awarded on 21 December 2016. 8- week target has been met	100% pharmaceutical tenders awarded at least 8 weeks prior to expiration of outgoing contract.	2 (100%) contracts were due for award in quarter 4 2016/17

Programme / Sub-Programme / Performance Indicators	2016/17 Annual Target as per Annual Performance Plan (APP)	Quarter 3 Target as per APP	Quarter 3 Output – Validated	Quarter 4 Progress	
				Quarter 4 Target as per APP	Quarter 4 Output – Preliminary
National AMR strategy Implemented	Antimicrobial stewardship guideline as identified in the AMR strategy developed	AMS guideline finalised and published	AMS guidelines updated following review of comments	AMS guideline implementation plan developed	AMS guideline implementation plan developed. Further Monitoring and evaluation plan for the implementation of AMS guideline developed
Council for Traditional Practitioners established	Staff for Interim Council for Traditional Practitioners	-	Post of the Registrar advertised and interviews conducted	-	Interim Registrar appointed
Revenue Retention Model (RRM) at central hospitals	A discussion paper on revenue retention models developed and approved by NHC and National Treasury	Incorporate feedback from CFO Forum and NHCC; and present the refined discussion paper to NHC tech	FFC report being reviewed	Incorporate feedback from NHC Tech; and present the refined discussion paper to NHC for approval, Circulated the NHC approved discussion paper for National Treasury Approval	FFC report with its recommendations was received on 31 March 2017
A complete System design for a National Integrated Patient based information system	Health Normative Standards Framework (HNSF) Implementation protocol developed for Basic Health Information Exchange (HIE) for piloting integration with Patient Based Information Systems	-	The assessment of the Hospital Patient information Systems has been completed	-	The assessment of the Hospital Patient information Systems has been completed

Programme / Sub-Programme / Performance Indicators	2016/17 Annual Target as per Annual Performance Plan (APP)	Quarter 3 Target as per APP	Quarter 3 Output – Validated	Quarter 4 Progress	
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Number of PHC health facilities implementing improved patient administration and	1450 (Additional 700) PHC Facilities	-	1505 Facilities (cumulative)	-	1849 Facilities (Cumulative)
National health research plan implemented	Costed National Health Research plan approved; SADHS data collection completed	Final draft costed research plan produced Data collected in 80% (n=15000) of the households	Integrated national strategic framework for health research and plan was tabled for the Management Committee. SADHS fieldwork completed on the 4 November 2016	Costed plan approved Data collection completed in targeted households	Integrated national strategic framework for health research and costed Plan was tabled for Management Committee. SADHS fieldwork was completed on 4 November 2016.
Integrated Monitoring & Evaluation plan developed	Draft Monitoring framework for NHI developed	Identification of appropriate NHI indicators	Draft Framework with indicators developed and circulated for comments	Draft monitoring framework for NHI produced	Draft Monitoring Framework for NHI was produced
Number of International treaties implemented	Three International treaties implemented	-	Participation in 6 high level meetings: High level panel on Access to Medicines, High level commission on HEEG, AMR High level meeting, Foreign policy and Global Health, Stop TB and Independent Oversight and Advisory Committee on emergencies	-	DG attended the Face to Face meeting of the Independent Oversight Advisory Committee for WHO Health Emergencies Programme, which took place from 26th-27th March 2017 in Amman, Jordan. DG presented a video as Commissioner of the Lancet Global Health Commission on High Quality Health Systems, which was held on 13-15 March 2017, in Boston, USA.

Programme / Sub-Programme / Performance Indicators	2016/17 Annual Target as per Annual Performance Plan (APP)	Quarter 3 Target as per APP	Quarter 3 Output – Validated	Quarter 4 Progress	
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Number of International treaties implemented'	An audit of the progress of ratification of the treaties completed	-	Nil reported	-	
Number of multilateral frameworks implemented	Three Multilateral Frameworks implemented and reviewed	Coordinate participation in the WHO-AFRO meeting and the SADC Health Ministers' meeting in Swaziland, November 2016 and implementation of resolutions/decisions	Participated in 3 high level engagements to support multilateral framework implementation on tracking ex-miners (South Africa, Botswana and Mozambique); SADC TB and health Systems Support Project in Maputo; SAD Programme of Action on Implement of SADC sponsor UN SCV Resolution 60/2 on Women, Girl Child and HIV and AIDS	Review of implementation of multilateral frameworks	Participated in 5 high level multilateral activities. Participated in 9 activities on implementation of the ODA Aid Effectiveness framework
Number of Bilateral projects implemented	Six strategic bilateral projects implemented	Two strategic bilateral projects implemented	4 strategic bilateral commission between SA with Namibia, Botswana, Zambia and Zimbabwe	Two strategic bilateral projects implemented	Participated in 8 activities
Number of Bilateral projects implemented'	Review of all signed bilateral agreements completed and progress reports produced	Four bilateral agreements reviewed	13 activities	Four bilateral agreements reviewed	Nil
Single Exit Price Adjustments Published and Implemented Annually	Implementation of the gazette 2016/17 Annual Price Adjustment	-	Final set of 2016/2017 SEPA submissions (165) processed	-	SEPA 2016/2017 implementation finalized. The gazette for the 2018 SEPA review was approved by Minister

Programme / Sub-Programme / Performance Indicators	2016/17 Annual Target as per Annual Performance Plan (APP)	Quarter 3 Target as per APP	Quarter 3 Output – Validated	Quarter 4 Progress	
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Regulations pertaining to Uniform Patient Fee Schedule (UPFS) developed	Gazette the UPFS tariffs applicable to Foreign nationals (paying patients)	Gazette the tariffs applicable to foreign nationals.	The draft regulations were submitted to the State Law Advisor	Implement the tariffs applicable to foreign nationals.	The recommendations made by the State Law Advisors were incorporated and 2nd draft regulation submitted to Legal Services
Central Repository for the funded and unfunded patients	A repository containing information related to medical scheme members developed	Get ministerial approval to engage with medical schemes regarding	Engagement with medical schemes underway on patient information	Develop central repository according to the NHF	The Central repository has been developed
A national electronic system to monitor supplier performance	Performance reports of all contracted pharmaceutical suppliers produced on a quarterly basis	Performance reports of all contracted pharmaceutical suppliers produced	Performance reports of all contracted pharmaceutical suppliers produced	Performance reports of all contracted pharmaceutical suppliers produced	Performance reports of all contracted pharmaceutical suppliers produced
A forum to promote transparency and multi-stakeholder engagement regarding medicine availability	Forum established; Terms of Reference developed; Forum members appointed; One quarterly stakeholder meeting convened	Forum members shortlisted	Request for nominations for appointment to the Forum submitted for Minister's consideration	Forum members appointed ; and quarterly stakeholder meeting convened	Request for nominations for appointment to the Forum approved and signed by the Minister
Number of Provincial Annual Performance Plans (APPs) aligned to the National Health System Priorities	9 Provincial APPs reviewed and aligned to the National Health System Priorities	Review Draft 1 APPs of 9 Provincial DoH	Targets in Draft 1 provincial APPs were reviewed. NDoH proposed updates to Provincial Targets. The revised Provincial targets were presented at Tech NHC of 28/29 October. Consultation workshops were held with 7 Provincial DoH, and feedback was provided to all 9 provincial DoH.	Review Draft 2 APPs of 9 Provincial DoH	Draft 2 of all nine Provincial APPs were reviewed and feedback reports were sent to all Provincial DoHs

Programme / Sub-Programme / Performance Indicators	2016/17 Annual Target as per Annual Performance Plan (APP)	Quarter 3 Target as per APP	Quarter 3 Output – Validated	Quarter 4 Progress	
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Integrated Planning Framework for National Health System	Integrated Planning Framework for National Health System developed and presented to NHC	-	Target was achieved in the second quarter	-	Integrated Planning process was implemented after approval from Tech NHC. The integrated target setting process was implemented. The final targets produced through the integrated planning process tabled at Tech NHC and NHC.
Patient Experience of care self assessment survey tool	Patient Experience of care self assessment survey tool implemented in 1200 clinics	-	Draft PEC Guidelines and Tools was presented to Tech NHC at its meeting of 28 and 29 October 2016	-	Final draft PEC Guideline & Tool presented to TechNHC meeting during February 2017. TechNHC recommended PEC Guideline & Tool to National Health Council.
National Survey to measure Patient Experience of Care	A national survey conducted to measure patient experience of care at all Hospitals	-	Ethics approval received for the rapid National Patient Experience of Care Survey and fieldworkers recruited and trained.	-	The Patient Experience of Care Survey conducted by the Health Systems Trust at Primary Health Care facilities is underway. Interviews of 4 048 patients and 107 facility managers in a sample of 107 facilities in six provinces were conducted. In addition, a recommendation was made to appoint a service provider to conduct the PEC survey in a randomly selected sample of 95 public hospitals.

Programme / Sub-Programme / Performance Indicators	2016/17 Annual Target as per Annual Performance Plan (APP)	Quarter 3 Target as per APP	Quarter 3 Output – Validated	Quarter 4 Progress	
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National Policy to manage Complaints, Compliments and Suggestions for the Public Health Sector of South Africa	Policy to manage Complaints, Compliments and Suggestions for the Public Health Sector of South Africa developed, and approved and Implementation commenced in 3 Provincial DoH	Implement the policy (roll out to provinces)	Draft Policy was presented Tech NHC at its meeting of 28 and 29 October 2016.	Implement the policy (roll out to provinces)	Final Draft Guideline presented to TechNHC during February 2017. TechNHC recommends CCS Guideline to National Health Council.
National Policy to manage Patient Safety Incident reporting in the Public Health Sector of South Africa	Policy to manage Patient Safety Incident reporting in the Public Health Sector of South Africa developed and approved	Submit draft National Policy for approval	Draft Policy was presented Tech NHC at its meeting of 28 and 29 October 2016.	Policy to manage Patient Safety Incident reporting in the Public Health Sector of South Africa approved	Final draft PSI Guideline presented to TechNHC during February 2017. TechNHC recommended PSI Guideline to National Health Council.
Programme 3: HIV / AIDS, TB and Maternal and Child Health					
Antenatal 1st visit before 20 weeks rate	62%	63%	66.2%	62%	63.8%
Mother postnatal visit within 6 days rate	75%	77%	70.1%	79%	71.4%
Maternal Mortality in facility Ratio	115	115	114.6	114	116.0%
Inpatient Early Neonatal Death Rate	10	10	13.2	9	12.5%
Couple year protection rate	63%	63%	69.5%	63%	67.9%
Cervical cancer screening coverage	50%	53%	58.4%	50%	62.4%
Antenatal client initiated on ART rate	96%	96%	95.0%	97%	93.2%

Programme / Sub-Programme / Performance Indicators	2016/17 Annual Target as per Annual Performance Plan (APP)	Quarter 3 Target as per APP	Quarter 3 Output – Validated	Quarter 4 Progress	
				Quarter 4 Target as per APP	Quarter 4 Output – Preliminary
Infant 1st PCR test positive around 10 weeks rate	1.4%	1.4%	1.2%	1.4%	1.7%
Child under 5 years diarrhoea case fatality rate	3.25%	3.25%	1.8%	3.20%	2.0%
Child under 5 years pneumonia case fatality rate (%)	2.6%	2.6%	2.0%	2.6%	2.0%
Child under 5 years severe acute malnutrition case fatality rate	9%	9%	6.7%	8%	8.2%
Confirmed measles case incidence per million total population	<2/1,000,000	-	0.27/1 000 000	-	1.3/1000 000
Immunisation coverage under 1 year	92%	92%	77.2%	92%	84.5%
Infant exclusively breastfed at HepB 3rd dose rate	55%	55%	43.7%	64%	42.6%
DTaP-IPV-HB-Hib 3 - Measles 1st dose drop- out rate	6%	6%	-7.1%	6%	2.8%
Measles 2nd dose coverage	80%	79%	89.0%	81%	92.1%
School Grade 1 screening coverage	28.0%	13.5%	29.5%	18.5%	19.4%
School Grade 8 screening coverage	12%	5%	12.2%	10%	17.5%
HPV 1st dose coverage	87%	-	77.6%	-	65.1%
HPV 2nd dose coverage	87%	-	60.5%	-	60.80%
TB client 5 years and older initiated on treatment rate	94%	95%	95.4%	97%	93.9%

Programme / Sub-Programme / Performance Indicators	2016/17 Annual Target as per Annual Performance Plan (APP)	Quarter 3 Target as per APP	Quarter 3 Output – Validated	Quarter 4 Progress	
				Quarter 4 Target as per APP	Quarter 4 Output – Preliminary
TB Rifampicin Resistant clients treatment initiation rate	80%	82%	78.0%	82%	60.0%
TB client treatment success rate	84%	84%	84.2%	85%	84.7%
TB client lost to follow up rate	5%	5%	4.9%	5%	6.7%
TB Client death rate	5.0%	4.5%	6.1%	4.0%	3.9%
TB MDR client loss to follow up rate	16%	15%	18.3%	14%	19.3%
TB MDR client death rate	12%	12%	22.4%	11%	20.0%
TB MDR treatment success rate	55%	56%	49.2%	58%	52.7%
TB/HIV co-infected client on ART rate	80%	81%	81.0%	82%	81.6%
Number of clients tested for HIV	10 million	2.5 million	3 372 956	2.5 million	2 238 661
Number of medical male circumcisions performed	700000	150000	215 921	150 000	59 486
Male condoms Distributed	750 million	150 million	227 107 956	250 million	149 380 309
Female Condoms Distributed	17.5 million	4.5 million	6 477 861	4 million	4 333 265
Total clients remaining on ART (TROA)	4.3 million	4.2 million	3 714 546	4.3 million	3 699 688
Maternal, Neonatal and Woman's health programmes using the standardised dashboard	4 x National Quarterly reports produced with recommendations	Quarterly performance report produced with feedback provided	Quarter 2 dashboard report finalised and circulated to provinces	Quarterly performance report produced with feedback provided to each provincial DoH	Quarterly performance report sent to provinces

Programme / Sub-Programme / Performance Indicators	2016/17 Annual Target as per Annual Performance Plan (APP)	Quarter 3 Target as per APP	Quarter 3 Output – Validated	Quarter 4 Progress	
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Remedial EMTCT plans developed with Districts	Remedial plans developed with all Districts that have MTCT rates > 2%	District visits conducted and draft remedial plans developed	Provinces of KwaZulu-Natal and Limpopo have been visited . Development of district remedial plans started during the third quarter of 2016/17.	District visits conducted and final remedial plans developed	Provincial visits were done and 9 final district remedial plans were developed
Number of Provincial DoH with Remedial plans to reduce SAM	Two (Mpumalanga DoH and Free State DoH)	1 Provincial DoH remedial plan completed and 1	1 provincial DoH plan completed	1 Provincial DoH implementation plan completed	2 provincial DoH plans completed
Switch from trivalent Oral polio vaccine OPV(ttOPV) to bivalent OPV(bOPV)	Oral Polio Vaccine switch conducted and report produced	Oral Polio Vaccine Reported Completed	Oral Polio Vaccine Report approved	Oral Polio Vaccine Report Approved	Oral Polio Vaccine Switch Report finalised and approved by Minister in the second quarter
Cervical Cancer control Policy and Guidelines	18 Master Trainers trained on the implementation of the Cervical Cancer Control Policy and	Training Plan developed	Audit of services and costing of policy completed as per resolution of Tech NHC	training of master trainers conducted	Policy was presented to the Technical Committee of the NHC at its meeting of February 2017, training to be conducted once policy approved
Breast Cancer Policy and Guidelines	Breast cancer policy guidelines finalised, approved and disseminated to identified facilities as	Breast Cancer Policy and Guidelines dissemination commenced	Audit of services and costing of policy completed as per resolution of Tech NHC	Breast Cancer Policy and Guidelines dissemination completed	Policy was presented to the Technical Committee of the NHC at its meeting of February 2017, dissemination will occur once it is approved
Number of Districts Implementation plans developed and operationalised in the subsequent year to reach 90-90-90 targets for TB and HIV	52 DIPs for developed with health districts for 2017/18	52 DIPs drafted with health districts for 2017/18	Not applicable	52 DIPs developed with health districts for 2017/18	46 DIP plans received

Programme / Sub-Programme / Performance Indicators	2016/17 Annual Target as per Annual Performance Plan (APP)	Quarter 3 Target as per APP	Quarter 3 Output – Validated	Quarter 4 Progress	
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Number of Districts Implementation plans monitored	52 Districts Implementation Plans (DIPs) monitored and reports produced	-	52 DIPs dashboards monitored and reports produced (Q 2 of 2016/17)	52 Districts Implementation Plans (DIPs) monitored and reports produced	52 DIPs dashboards monitored and reports produced (Q3 of 2016/17)
Dashboard reports for Monitoring implementation of the HIV and AIDS and STI Programmes	4 x National Quarterly monitoring dashboard reports produced with recommendations	National Quarterly monitoring dashboard report produced with recommendations	Quarter 2(2016/17) dashboard report produced	National Quarterly monitoring dashboard report produced with recommendations	Quarter 3 of 2016/17 dashboard report produced
HIV and AIDS Conditional grant Reports	3x Quarterly HIV and AIDS Conditional grant reports produced	Q2 2016/17 HIV and AIDS Conditional grant report produced	Q2 2016/17 HIV and AIDS Conditional grant report produced	Q3 2016/17 HIV and AIDS Conditional grant report produced	Q3 2016/17 HIV and AIDS Conditional grant report produced
HIV and AIDS Conditional grant Reports'	Annual HIV Conditional Grant Report for 2015/16 year produced	-	Not Applicable	-	Not applicable
Annual National HIV Antenatal Prevalence Survey	2015 National antenatal sentinel HIV and Syphilis prevalence report published.	-	The 2015 report survey data is being cleaned, and analysed. The report will be available end of May 2017	-	Status same as quarter 3
Monitor implementation of child health programmes using the standardised dashboard reports	4 x National Quarterly Monitoring dashboard reports produced with recommendations	National Quarterly report produced with recommendations	Report has been prepared and circulated to provinces	National Quarterly report produced with recommendations	National Dashboard report with recommendations
% of inmates screened for TB on admission	80%	80%	34.7%	85%	47%

Programme / Sub-Programme / Performance Indicators	2016/17 Annual Target as per Annual Performance Plan (APP)	Quarter 3 Target as per APP	Quarter 3 Output – Validated	Quarter 4 Progress	
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% of controlled mines providing routine TB screening	85%	-	102.2% (252 inspected against the target 246 mines)	-	100%
Programme 4: Primary Health Care Services (PHC)					
Cataract Surgery Rate	1000 operations per million un-insured population (44 000 cataract operations)	-	26 716 operations conducted (cumulative)	1000 operations per million un-insured population (44 000 cataract operations)	31 577 operations conducted (cumulative)
Malaria Incidence per 1000 population at risk	0.2 malaria cases per 1000 population at risk	0.2 (cumulative)	0.07 (Q1-Q3 cumulative)	0.2 (cumulative)	0.31 (Q1-Q4 cumulative)
Number of Districts with uniform management structures	Uniform structure for District Health Management approved.	-	Uniform structure for DHMO approved	Uniform structure for District Health Management approved.	Draft guidelines for DHMO structure developed
Number of primary health care facilities with functional committees	1200 health facilities audited to determine functional	-	2032 health facilities were audited to determine functionality of clinic committees	1200 health facilities audited to determine functional	2095 health facilities were audited to determine functionality of clinic committees
Number of functional WBPHCOTs	2000 functional WBPHCOTs	2000	3 143 functional WBPHCOTs	2000	3 275 functional WBPHCOTs
Number of primary health care facilities in the 52 districts that qualify as Ideal Clinics	Additional 750 primary health care facilities in the 52 districts qualify as Ideal Clinics	-	267 PHC facilities obtained Ideal clinic status	Additional 750 primary health care facilities in the 52 districts qualify as Ideal Clinics	811 PHC facilities obtained Ideal clinic status
Number of municipalities that are randomly selected and audited against	35	-	18 District and metropolitan municipalities audited (cumulative)	35	35 District and metropolitan municipalities audited
Hand and hygiene strategy rolled out in 9 (nine) provinces	National Hand hygiene strategy approved	-	Hand hygiene workshops held in 8 provinces of Eastern Cape, KwaZulu-Natal, Free State, Mpumalanga, Limpopo, Gauteng, Northern Cape and North West	National Hand hygiene strategy approved	Hand hygiene workshop for all 9 provincial DoHs held. Report on 9 Provincial DoH workshops was produced

Programme / Sub-Programme / Performance Indicators	2016/17 Annual Target as per Annual Performance Plan (APP)	Quarter 3 Target as per APP	Quarter 3 Output – Validated	Quarter 4 Progress	
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Hand and hygiene strategy rolled out in 9 (nine) provinces'	Hand hygiene strategy workshops held in all 9 provinces	-	Hand hygiene workshops held in 8 provinces of Eastern Cape, KwaZulu-Natal, Free State, Mpumalanga, Limpopo, Gauteng, Northern Cape and North West	Hand hygiene strategy workshops held in all 9 provinces	Hand hygiene strategy workshop held for all 9 provincial DoHs held. Report on 9 Provincial DoH workshops was produced.
Health Care Risk Waste (HCRW) Regulations	9 Provincial Implementation Plans developed	-	Provinces were supported in developing provincial plans. Letters and guidelines were sent to provinces to submit their draft provincial plans by end of January 2017	9 Provincial Implementation Plans developed	9 Provincial implementation plans available
Number of points of entry that provide IHR compliant port health services	All 44 points of entry audited, and report produced	-	32 identified Ports of Entry were audited on the norms and standard and IHR requirements (cumulative)	All 44 points of entry audited, and report produced	45 identified Ports of Entry were audited on the norms and standard and IHR requirements (cumulative)
Number of government Departments oriented on the National guide for healthy meal provision in the	35 (15 additional) National Departments oriented on the National guide for healthy meal provision in the workplace	33 (cumulative)	38 departments and 2 parastatals, no additional departments were orientated in Q3	35 (cumulative)	41 Departments (cumulative)
Guidelines on Nutrition for Early Childhood Development centres	Guidelines on Nutrition for Early Childhood Development centres consulted widely and approved	-	Inputs received from stakeholders and analysis underway	Guidelines on Nutrition for Early Childhood Development centres	Guidelines on Nutrition for Early Childhood Development Centres were revised using inputs recieved from stakeholders
Regulations relating to labelling and packaging of tobacco products and smoking in indoor and outdoor public places developed	Draft Tobacco Product Bill submitted to Cabinet	-	Draft Bill submitted to State Law Advisors	Draft Tobacco Product Bill submitted to Cabinet	Final legal opinion was revised and final draft Bill submitted to Legal Services. The Socio-Economic Impact Analysis was conducted and approved for presentation to cluster meeting by DPME

Programme / Sub-Programme / Performance Indicators	2016/17 Annual Target as per Annual Performance Plan (APP)	Quarter 3 Target as per APP	Quarter 3 Output – Validated	Quarter 4 Progress	
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Random Monitoring of salt content in foodstuffs	Random samples from each of 13 regulated food categories tested, reported on and corrective action taken	10 (cumulative)	13 categories of foods tested	13 (cumulative)	Random samples from each of the 13 regulated food categories tested were reported on
National Health Commission established	Operating framework for National Health Commission approved	-	Draft Memorandum submitted including operating framework for consideration by Cabinet	Operating framework for National Health Commission approved	Draft Cabinet Memorandum revised as per Ministerial instruction
Number of District Mental Health Teams established	5 District mental health teams established	-	7 District Mental Health Teams established	5 District mental health teams established	8 District mental health teams established
Number of Districts implementing the National policy framework and strategy for disability and rehabilitation services	9 Implementation Plans developed for the National Policy framework and strategy for disability and rehab services	-	4 provinces have developed implementation plans	9 Implementation Plans developed for the National Policy framework and strategy for disability and rehab services	7 provinces with implementation plans
Number of targeted districts reporting malaria cases within 24 hours of diagnosis	7 of 9 malaria targeted districts reporting malaria cases within 24 hours of diagnosis	-	Six of the targeted districts are reporting through Malaria Connect	7 of 9 malaria targeted districts reporting malaria cases within 24 hours of diagnosis	9 malaria districts are reporting through Malaria Connect
Number of Provincial Outbreak Response Teams trained to respond to zoonotic, infectious and food-borne diseases outbreaks	9 Provincial Outbreak Response Teams trained	-	9 Provinces (Limpopo, North West, Free State, Eastern Cape, Mpumalanga, KwaZulu-Natal, Western Cape, Gauteng and Northern Cape) trained	9 Provincial Outbreak Response Teams trained	9 provincial outbreak response teams were trained

Programme / Sub-Programme / Performance Indicators	2016/17 Annual Target as per Annual Performance Plan (APP)	Quarter 3 Target as per APP	Quarter 3 Output – Validated	Quarter 4 Progress	
				Quarter 4 Target as per APP	Quarter 4 Output – Preliminary
Number of high risk population covered by the seasonal influenza vaccination	800 000 high risk individuals covered with seasonal influenza vaccination	-	896 019 individuals were vaccinated (cumulative)	800 000 high risk individuals covered with seasonal influenza vaccination	896019 individuals were vaccinated (cumulative)
Regulations on organ transplantation developed	Regulations drafted	-	Review process underway but not yet complete	Regulations drafted	The regulations were drafted
Regulations on dialysis developed	Regulations drafted	-	Review process underway but not yet complete	Regulations drafted	The regulations were drafted
National Policy Framework and Strategy on Eye Health including	Draft National Policy Framework and Strategy on Eye Health including provincial eye health	-	Draft Policy circulated and reviewed by stakeholders	Draft National Policy Framework and Strategy on Eye Health including provincial eye health	Final Draft approved at stakeholder meeting for submission to NHC
Programme 5: Hospital, Tertiary Health Services and Human Resource Development					
Number of Hospitals that achieved an overall performance 75% (or more) compliance with the National Core Standards assessment.	26 Hospitals (5 Central, 10 Tertiary, 11 Regional)	21 Hospitals	Edendale hospital, King Edward hospital, Inkosi Albert Luthuli hospital scored 87%. Mahatma Ghandi Hospital, RK Khan Hospital and Madadeni Hospital obtained 65% (peer review scores)	26 Hospitals	11 hospitals
Number of central hospitals with standardised organisational structures.	Organisational structure for Central Hospitals approved by NHC,	-	CEO's from Central hospitals made final inputs. Current and proposed structure costed. DPSA to make final presentation to NHC Tech and then NHC for approval	Organisational structure for Central Hospitals approved by NHC,	Proposed organisational structure for central hospitals was presented to Tech NHC on 23 February 2017
Number of District and Regional hospitals with mental health inpatient units established	10 (8 district and 2 regional hospitals)	4 district hospital 1 regional hospital	2 district and 14 Regional hospitals (6 tertiary hospitals and 3 Central hospitals) have established mental health inpatient units	4 district hospital 1 regional hospital	23 regional hospitals with mental health units, 16 Tertiary hospitals and only 1 District hospitals

Programme / Sub-Programme / Performance Indicators	2016/17 Annual Target as per Annual Performance Plan (APP)	Quarter 3 Target as per APP	Quarter 3 Output – Validated	Quarter 4 Progress	
				Quarter 4 Target as per APP	Quarter 4 Output – Preliminary
Guidelines for HRH norms and standards using the WISN methodology	HRH Norms for District and specialised hospitals approved. HRH Norms for Regional, Tertiary and Central Hospitals developed	HRH Norms for District and specialised hospitals presented to NHC Tech	Review of DHIS to obtain workload statistics for District hospitals	HRH Norms for District and specialised hospitals approved. HRH Norms for Regional, Tertiary and Central Hospitals developed	Draft norms and standards have been prepared from a sample of district hospitals
Number of health facilities benchmarked against staffing normative guides	3500 (2500 additional) PHC Facilities benchmarked	2800 (600 additional) PHC Facilities benchmarked	3 149 (1 549 additional) PHC Facilities benchmarked (achieved in the second quarter)	3500 (600 additional) PHC Facilities benchmarked	3149 (-351) PHC Facilities benchmarked
New basic Nursing qualification programmes and draft curricula developed	New basic nursing qualification programmes And draft curricula developed in line with the national nursing education and training policy	New basic nursing qualifications programme and draft curricula presented to	New basic nursing programme and draft curricula presented to Executive and Management Committee	New basic nursing qualification programmes and draft curricula completed	New basic nursing qualification programmes and draft curricula completed
Number of Nursing and midwifery educators ' identified nationally and registered for training and development programme	50	-	87 nursing and midwifery educators ' identified nationally and registered for training and development programme	50	87 Nursing and midwifery educators undergone various training and development programmes
Implementation of the Nursing Strategy Monitored	A monitoring system developed and a report produced to monitor the implementation of the Nursing strategy	Monitoring system finalised for monitoring the implementation of the Nursing strategy	Monitoring system finalised for monitoring the implementation of the Nursing strategy	Report produced to monitor implementation of the nursing strategy	Report produced to monitor implementation of the nursing strategy

Programme / Sub-Programme / Performance Indicators	2016/17 Annual Target as per Annual Performance Plan (APP)	Quarter 3 Target as per APP	Quarter 3 Output – Validated	Quarter 4 Progress	
				Quarter 4 Target as per APP	Quarter 4 Output – Preliminary
Number of facilities maintained, repaired and/or refurbished in NHI Districts	178 facilities	-	67 facilities	178 facilities	186 facilities
Number of facilities maintained, repaired and/or refurbished outside NHI pilot Districts	307 facilities	-	123 facilities	307 facilities	182 facilities
Number of clinics and Community Health Centres constructed or revitalised	44	-	67 clinics and CHCs	44	67 clinics and CHCs
Number of hospitals constructed or revitalised	8	-	7 hospitals	8	7 hospitals
Number of new facilities that comply with gazetted infrastructure Norms & Standards	52 new facilities	-	5 facilities were reviewed in line with gazetted Norms and Standards.	52 new facilities	65 complied (5 facilities; and 60 doctors consulting rooms design)
Infrastructure Monitoring System	Infrastructure monitoring System for monitoring all infrastructure projects using standard Balance Score Card methodology approved by NHC One consolidated National Monitoring report produced	-	Provincial reports were drawn from PMIS to develop one consolidated report.	Infrastructure monitoring System for monitoring all infrastructure projects using standard Balance Score Card methodology approved by NHC One consolidated National Monitoring report produced	Provincial and In-Kind Grant reports were drawn from PMIS to develop one consolidated report

Programme / Sub-Programme / Performance Indicators	2016/17 Annual Target as per Annual Performance Plan (APP)	Quarter 3 Target as per APP	Quarter 3 Output – Validated	Quarter 4 Progress	
				Quarter 4 Target as per APP	Quarter 4 Output – Preliminary
Number of provinces that are monitored for compliance with the EMS regulations	Compliance checklist to monitor compliance with EMS regulations developed and approved by National Committee of Emergency Medical services (NCEMS) and 9 provincial DoH monitored using the approved checklist	Checklist to monitor compliance with EMS regulations approved	Meeting of the NCEMS did not take place. Members approved checklist by email.	9 provincial DoH monitoring produced	All inputs for EMS Regulations consolidated. Revised regulations sent to Office of the State Law Advisor for final input.
Percentage backlog eliminated for blood alcohol tests	100%	75%	60%	100%	67%
Percentage backlog eliminated for toxicology tests	100%	75%	6%	100%	13.00%
Percentage of food tests completed within normative turnaround time (30 days –	100%	75%	63%	100%	63%
Number of managers accessing the coaching and mentoring Programme	40 Hospital CEOs and 200 PHC Facility Managers	-	Coaching and mentoring provider contract signed in November 2016 with I-Tech. Briefings on the coaching and mentoring pilot conducted for the senior leadership of the 2 targeted Provinces. Briefing sessions also conducted for 2 of the 4 targeted pilot sites.	40 Hospital CEOs and 200 PHC Facility Managers	2 hospital CEOs, 52 PHC and other managers

Programme / Sub-Programme / Performance Indicators	2016/17 Annual Target as per Annual Performance Plan (APP)	Quarter 3 Target as per APP	Quarter 3 Output – Validated	Quarter 4 Progress	
				Quarter 4 Target as per APP	Quarter 4 Output – Preliminary
Number of managers using the knowledge hub information system	200 Hospital CEOs and 700 PHC Facility managers	-	Briefing sessions on the functionality of the Knowledge Hub conducted for 3 Provinces, 1 Central Hospital and 1 District. Approximately 32 managers briefed in total.	200 Hospital CEOs and 700 PHC Facility managers	2 hospital CEOs, 32 PHC and other managers
Policy on education and training of EMS Personnel	A checklist for EMS education and training accreditation criteria in line with the Policy developed and approved by NCEMS. One Monitoring report produced to monitor compliance with Policy on education and training by training providers	Checklist EMS education and training accreditation criteria in line with the Policy approved by NCEMS	Meeting of the NCEMS did not take place but members were requested to approve checklist by email. Checklist approved	One Monitoring report produced to monitor compliance with Policy on education and training by training providers	All inputs for EMS Regulations consolidated. Revised regulations sent to Office of the State Law Advisor for final input.
Regulations for Emergency Care Centres	Regulation on Emergency Care Centres published for public comment	-	Draft regulation to be submitted to Legal Services for submission to Office of Chief State Law Advisor (OCSLA) for input	Regulation on Emergency Care Centres published for public comment	Emergency Centres Regulations drafted.
Regulations for EMS in Mass Gatherings	EMS in mass gatherings published for implementation	-	Feedback received from Office of Chief State Law Advisor comments incorporated and will be translated into second official language in preparation for promulgation	EMS in mass gatherings published for implementation	Regulations were submitted to Legal Services for submission to Minister for promulgation. The SEIAS report was completed and submitted to DPME for approval. Regulations translated into Sepedi and IsiZulu

Programme / Sub-Programme / Performance Indicators	2016/17 Annual Target as per Annual Performance Plan (APP)	Quarter 3 Target as per APP	Quarter 3 Output – Validated	Quarter 4 Progress	
				Quarter 4 Target as per APP	Quarter 4 Output – Preliminary
Regulations for the Rendering of Forensic Pathology Services	Regulation on for the rendering of Forensic Pathology Services published for implementation	-	Draft finalised in 9 and 10 Nov NFPSC meeting, submitted for to Legal Services' inputs on 7 Dec 2016	Regulation on for the rendering of Forensic Pathology Services published for implementation	Regulations have been finalised and submitted to the State Law Adviser in January 2017.
Scope of Practice for the rendering of Forensic Pathology Services	Scope of Practice for the rendering of Forensic Pathology Services published for Implementation	-	The NFPSC has decided on 9 and 10 Nov 2016 to only finalize this draft upon publication of the Regulations above.	Scope of Practice for the rendering of Forensic Pathology Services published for Implementation	Scope of Practice Guidelines have been drafted, discussed and ready, but awaiting finalisation of the Regulations relating to the Rendering of Forensic Pathology Services.
Health Facilities that are designated to render services for the management of sexual and related offences Monitored	Monitoring system developed and Implemented to monitor facilities which render services for the management of sexual and related offences	Monitoring system approved	Monitoring template submitted for approval	One Monitoring report produced to monitor facilities which render services for the management of sexual and related offences	Additional 25 health facilities were designated for the management of sexual assault and related offences. Post Exposure Prophylaxis was provided to survivors including the provision of comfort packs. Reports are produced from DHIS data
Number of Regional Training Centre (RTC) established	9 RTCs established	-	6 RTCs established	9 RTCs established	9 RTCs established

Programme / Sub-Programme / Performance Indicators	2016/17 Annual Target as per Annual Performance Plan (APP)	Quarter 3 Target as per APP	Quarter 3 Output – Validated	Quarter 4 Progress	
				Quarter 4 Target as per APP	Quarter 4 Output – Preliminary
Programme 6: Health Regulation and Compliance Management					
SAHPRA as a public entity	SAHPRA Listed as a public entity	CEO of SAHPRA appointed	* Proclamation of SAHPRA awaiting publication of the General Regulations. * Draft Regulations to support SAHPRA finalised for Stakeholder comment	Committees of SAHPRA appointed	Draft Regulations to support SAHPRA were publishedon for public comment. SAHPRA was listed as a Schedule 3A Public Entity.
SAHPRA as a public entity'	Board CEO and Committees Appointed	Board of SAHPRA appointed	Draft adverts for appointment of board members prepared.	-	Draft adverts for appointment of board members prepared in the third quarter
Occupational health cluster established and functional	Integrated management of NIOH, CCOD and MBOD and agency agreement with	Implement agency agreements with service provider/s	MoU developed between Department of Health and Mining Companies	Annual report produced on management of occupational health cluster	No Annual report produced
Legal framework to establish National Public Health Institutes of South Africa (NAPHISA)	Comments on draft NAPHISA legislation considered and revised NAPHISA bill submitted to cabinet.	-	Cabinet memo to obtain Cabinet approval of the NAPHISA Bill for tabling in the Parliament was submitted for the Minister’s approval.	Comments on draft NAPHISA legislation considered and revised NAPHISA bill submitted to cabinet.	NAPHISA Bill approved by Cabinet for tabling in Parliament

Programme / Sub-Programme / Performance Indicators	2016/17 Annual Target as per Annual Performance Plan (APP)	Quarter 3 Target as per APP	Quarter 3 Output – Validated	Quarter 4 Progress	
				Quarter 4 Target as per APP	Quarter 4 Output – Preliminary
Number of Health entities' and Statutory Health professional Councils fully functional and compliant to good Governance practices (structures, Finance, HR , Supply Chain Management policies)	4 health Entities' and 6 statutory health professional councils	All entities and statutory health professional council's systems and policies developed in accordance with applicable legislation and corporate governance best practice.	80% entities and statutory health professional council's systems and policies developed in accordance with applicable legislation and corporate governance best practice.	-	Target achieved in the third quarter
Performance management system for board members	A standardised performance management system for board members fully implemented	Performance management system for the following board/councils implemented: South African Dental Technicians Council, Health Professions Council of SA, National Health Laboratory Service, Allied Health Professions Council of SA	Performance management system for the following board/councils implemented: SADTC, HPCSA, NHLS, AHPCSA	Performance management system for the following board/councils implemented: South African Medical Research Council, Office of Health Standards Compliance, Council for Medical Schemes	Performance management system for the following board/councils implemented: South African Medical Research Council, Office of Health Standards Compliance, Council for Medical Schemes
Number of newly appointed boards inducted and trained	3 new boards appointed, inducted and trained (South African Medical Research Council; Office of Health Standards Compliance and Allied Health Professions Council of SA)	Two new boards appointed	One New Board appointed.	-	Annual target achieved in the third quarter

Programme / Sub-Programme / Performance Indicators	2016/17 Annual Target as per Annual Performance Plan (APP)	Quarter 3 Target as per APP	Quarter 3 Output – Validated	Quarter 4 Progress	
				Quarter 4 Target as per APP	Quarter 4 Output – Preliminary
Number of entities and statutory councils monitored using dashboards for performance and compliance to legislative prescripts	10 entity and statutory councils monitored using dashboards biannually	-	Entities/Councils to submit Updated bi-annual dashboards by end of Februray 2017	Bi-annual dashboard reports produced to monitor performance and compliance of all entities and statutory councils	10 Entities/Councils compliance dashboards
Develop a reporting template to enable feedback to the executive authority.	Standardised reporting template developed and implemented for Departmental representatives serving on boards	Executive Authority's feedback report on Board/ Council activities produced.	Executive Authority's feedback report on Board/ Council activities produced.	Executive Authority's feedback report on Board/ Council activities produced.	Executive Authority's feedback report on Board/ Council activities produced.